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<b>UTILITY PATENT APPLICATION TRANSMITTAL</b>  <i>(Only for new nonprovisional applications under 37 CFR 1.53(b))</i>	<i>Title of Invention</i>	Method and System for Creating a Record for One or More Computer Security Incidents
	<i>Named Inventor(s)</i>	John M. Hammer, Rixin Ge, Charles D. Burke and Charles Hubbard
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<b>APPLICATION ELEMENTS</b>	Assistant Commissioner of Patents <b>ADDRESS TO:</b> Box Patent Application Washington, D.C. 20231		
	<b>ACCOMPANYING APPLICATION PARTS</b>		
<p>1. <input type="checkbox"/> Fee Transmittal Form <i>(Submit an original, and a duplicate for fee processing)</i></p> <p>2. <input checked="" type="checkbox"/> Specification, Claims, and Abstract Total Pages <b>63</b></p> <p>3. <input checked="" type="checkbox"/> Drawings Total Sheets <b>29</b></p> <p>4. Oath or Declaration Total Pages <b>4</b> a. <input checked="" type="checkbox"/> Newly unexecuted (original or copy) b. <input type="checkbox"/> Copy from prior application (37 CFR 1.63(d)) <i>(for continuation/divisional with Box 17 completed)</i> <b>[Note Box 5 Below]</b> (i) <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b> Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).</p> <p>5. <input type="checkbox"/> Incorporation by Reference <i>(usable if Box 4b is checked)</i> The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.</p> <p>6. <input type="checkbox"/> Microfiche Computer Program <i>(Appendix)</i></p> <p>7. <input type="checkbox"/> Nucleotide and/or Amino Acid Sequence Submission <i>(if applicable, all necessary)</i> a. <input type="checkbox"/> Computer Readable Copy b. <input type="checkbox"/> Paper Copy (identical to computer copy) c. <input type="checkbox"/> Statement verifying identity of above copies</p>	<p>8. <input type="checkbox"/> Assignment Papers (cover sheet &amp; document(s))</p> <p>9. <input type="checkbox"/> 37 CFR 3.73(b) Statement <i>(when there is an assignee)</i> <input type="checkbox"/> Power of Attorney by assignee</p> <p>10. <input type="checkbox"/> English Translation Document <i>(if applicable)</i></p> <p>11. <input type="checkbox"/> Information Disclosure Statement (IDS) PTO-1449 <input type="checkbox"/> Copies of IDS Citations</p> <p>12. <input type="checkbox"/> Preliminary Amendment</p> <p>13. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) <i>(Should be specifically itemized)</i></p> <p>14. <input type="checkbox"/> Small Entity Statement(s) <input type="checkbox"/> Statement filed in prior application Status still proper and desired</p> <p>15. <input type="checkbox"/> Certified Copy of Priority Document(s)</p> <p>16. <input type="checkbox"/> Other: _____ _____ _____</p>		
<p>17. If a <b>CONTINUING APPLICATION</b>, check appropriate box and supply the requisite information: <input type="checkbox"/> Continuation <input type="checkbox"/> Divisional <input checked="" type="checkbox"/> Continuation-in-part (CIP) of prior application No: 09/663,886</p> <p>18. CORRESPONDENCE ADDRESS:</p> <table><tr><td>Steven P. Wigmore, Esq. KING &amp; SPALDING 45<sup>th</sup> Floor 191 Peachtree Street, N.E. Atlanta, Georgia 30303</td><td>By: <u>[Signature]</u> Reg. No. 40,447 Date: <u>October 10, 2000</u> Telephone: <u>404.572.4600</u> Facsimile: <u>404.572.5145</u></td></tr></table>		Steven P. Wigmore, Esq. KING & SPALDING 45 <sup>th</sup> Floor 191 Peachtree Street, N.E. Atlanta, Georgia 30303	By: <u>[Signature]</u> Reg. No. 40,447 Date: <u>October 10, 2000</u> Telephone: <u>404.572.4600</u> Facsimile: <u>404.572.5145</u>
Steven P. Wigmore, Esq. KING & SPALDING 45 <sup>th</sup> Floor 191 Peachtree Street, N.E. Atlanta, Georgia 30303	By: <u>[Signature]</u> Reg. No. 40,447 Date: <u>October 10, 2000</u> Telephone: <u>404.572.4600</u> Facsimile: <u>404.572.5145</u>		

# METHOD AND SYSTEM FOR CREATING A RECORD FOR ONE OR MORE COMPUTER SECURITY INCIDENTS

## TECHNICAL FIELD

5           The present invention relates to computer systems and the security of such systems. More particularly, the present invention relates to a method and system for creating an investigation and response record for one or more security incidents that may occur on or within a computer system.

## 10 BACKGROUND OF THE INVENTION

As E-commerce or doing business over the Internet becomes a way of life rather than being characterized as novel commercial activity, protecting computer systems against malicious attacks or alleged pranks will be vital to both businesses and individuals because of potential economic disasters. In other words, because businesses and individuals are becoming more and  
15 more dependent upon computer systems and computer systems that are integrated with the Internet, any interrupts in service or attacks on such computer systems could have devastating financial repercussions.

Attacks on computer systems that are integrated with the Internet typically comprise malware. Malware is a term of art which is a combination of the word “malicious” and the word  
20 “software”. Examples of malware include, but are not limited to, the following: computer viruses, worms and Trojan horses. A computer virus is a broad term for a program that replicates itself. A virus can cause many different kinds of damage, such as deleting data files, erasing programs, or destroying everything found on a computer hard drive. Not every virus can cause damage; some viruses simply flash annoying messages on a computer screen. A virus can  
25 be received by downloading files from the Internet to a personal computer. Another way in which a personal computer can be infected with a computer virus can occur when files are sent via e-mail over the Internet or through a company’s internal network.

Similar to viruses, worms are programs designed to infect network such as the Internet. They travel from network computer to network computer, replicating themselves along the way.  
30 Unlike traditional computer viruses and worms, Trojan horses emulate their Homeric namesake

by pretending to be a program that a user wants to launch. Trojan horses can be programs or files that disguise themselves as normal, helpful programs or files, but in fact are viruses. For example, if a program purported to be a financial calculator, but really deleted every file on your hard disk, that program will be called a Trojan horse. One of the most famous Trojan horses of all, was “Melissa”, which was disguised as a Word document sent via e-mail. The “Melissa” Trojan horse wreaked enough havoc that it crashed many Internet and corporate mail servers.

In addition to the malware mentioned above, other computer incidents can include attacks against an Internet service provider (ISP) or any computer connected to the Internet. One of the most common attacks against an ISP or any computer connected to the Internet is called a Smurf attack, or smurfing. In a Smurf attack, a target, such as an ISP or a computer connected to the Internet, is flooded with many “garbage” packets that all of the target’s available bandwidth is used up and the target or customers of the target or both cannot send or receive data by using e-mail, browsing the web, or any other Internet service. In a Smurf attack, a commonly used Internet service such as echo request packet generated from a packet Internet groper (PING) program is exploited. A PING program, utilizing echo request packets, permits a user to determine whether a particular computer or server is currently attached to the Internet and is working.

When a computer or server receives an echo request packet generated from a PING program, it sends a return echo response packet to the user who sent the echo request packet. In a typical Smurf attack, return addresses of a broadcast echo request packet are forged so that the return echo response packets do not go back to the computer incident source that generated the harmful broadcast echo request, but instead, back to the target. Smurf attacks are difficult to fight since echo response packets can originate from legitimate networks and not the computer incident source. The source of each echo response packet must be tracked down and then the source of each echo response packet, such as a network, is then asked to disallow echo requests to broadcast addresses. Adding to the complexity of the situation, when a target goes down, often legitimate customers will send echo request packets to see whether the target is operating. Therefore, a target under a Smurf attack has a very difficult time separating legitimate echo packets from Smurf echo packets.

As noted above, the nature of a distributed network, such as the Internet, makes it vulnerable to attack. The Internet was designed to allow for the freest possible exchange of

information, data, and files. However, this free exchange of information carries a price: many users will try to attack the Internet and computers connected to the Internet; many users will also try to invade other users' privacy and attempt to crack databases of sensitive information or snoop around for information as it travels across Internet routes.

5 While many intrusion detection systems (IDS) and software programs that can gather information or make changes to security configurations of network computers (or both) currently exist, these conventional systems do not meet the threshold necessary to be admissible in a court of law. In other words, most conventional detection systems do not generate substantive evidence in the form of written records that can be admitted as tangible evidence during a trial.  
10 Furthermore, conventional intrusion detection systems do not provide a systematic approach to computer incidents that is readily reproducible. The conventional art typically requires highly skilled programmers or security administrators, who probably do not have any training in the production of forensic evidence: evidence that can be admitted into a court of law because of its authenticity, accuracy, and completeness.

15 Additionally, conventional intrusion detection systems in existing software do not provide any instruction as to how to accurately track and maintain a record of computer security incidents. At most, the conventional art may provide specific tools or software that permit the real time monitoring of packets on a network link by comparing packets against a library of signatures or by detecting unusual patterns in packets, or monitoring activity on a host/network  
20 device by comparing the activity against a library of signatures or by detecting unusual patterns of computer behavior. The prior art does not provide any uniform or systematic approach to detecting, monitoring, and responding to computer security incidents.

Accordingly, there is a need in the art for a method and system for determining whether an actual security incident exists. That is, there is a need in the art to determine whether security  
25 within a network or over a network has been compromised or if an incident is just some odd behavior that should be disregarded. Another need exists in the art for a method and system for automatically creating a record for one or more security incidents and reactions thereto that can be admitted as evidence in a court of law. There is a further need in the art for a method and system that records detection and responses to computer incidents that is also permanent and  
30 protected. A further need exists in the art for the uniform and systematic approach to documenting and responding to computer incidents that is readily reproducible. Additionally,

there is a need in the art for a method and system for organizing and recording the actions to one or more computer security incidents that permits less skilled users to conduct investigations and respond to security incidents. A further need exist in the art for a method and system for automatically creating a record of one or more computer security incidents that can permit  
5 advanced users to implement their own procedures when investigating and responding to computer security incidents. Another need exists in the art for a method and system for automatically creating a record for one or more computer security incidents that is adaptable or modifiable so that evolving computer threats can be assessed and neutralized.

Similarly, another need exist in the art for a method and system for creating a record of  
10 one or more security incidents that is flexible. In other words, there is a need in the art for a method and system for investigating and responding to computer security incidents that provides a step-by-step approach that can be interrupted at any time to prevent network security breaches, to stop any potential damage to a network, and to provide adequate time to investigate an incident before reacting to it. An additional need in the art exist for a method and system for  
15 creating a record of computer incidents that can be programmed to automatically respond to computer security incidents that match predefined criteria. A further need exists for a method and system for selecting a computer that is strategically located relative to a source of a computer security incident such that the computer can interrogate the source of the computer security incident.

## 20 SUMMARY OF THE INVENTION

The present invention is generally directed to a computer security management system that can log, investigate, respond, and track computer security incidents that can occur in a networked computer system. In other words, the computer security management system can  
25 produce a security record of information related to the tracking of suspicious computer activity or actual computer security threats, such as denial of service attacks or other similar compromises to computers or computer networks. The security record can include, but is not limited to, date and times of computer security incidents, a name for a particular security incident, and a potential source of the computer security incident. The security record can be  
30 designed as a running log that saves or records all observable activity of a computer incident source as well as the activity of the security team responding to the computer incident source.

To produce the security record, all data that relates to a computer incident and all data that relates to a computer incident response can be sent to a separate protected database, where data is protected by digital signature algorithms (DSAs).

The security record produced by the computer security management system can also keep track of the actions taken by security personnel in response to potential or actual harmful computer incidents. That is, the computer security management system can produce a record of information related to the investigation procedures and actual response procedures that are carried out by the security personnel in reaction to a computer security incident. For example, the security record can include, but is not limited to, dates and times of the investigation or response steps taken, names or brief summaries of the steps taken, as well as the names of the security personnel who reacted to a computer security incident.

The contents of the security record can be copied and the copy can be manipulated or processed to make the contents of the copy more easy to understand. However, the original security record containing the raw data should be permanent or unmodifiable so that it can be admitted as forensic evidence in a court of law. The computer security management system can be adaptable or programmable to implement techniques favored by courts to produce the security record. For example, if legal precedent is established that favors admissibility into evidence dual computer records where redundant records are kept, then the present invention can be programmed to maintain such computer record redundancy. Further, if courts favor a specific investigation procedure or response procedure for reacting to a computer incident, then the computer security management system can be programmed to implement such favored procedures in order to guarantee admissibility of the security record as evidence in a court of law.

In addition to its programmability or flexibility, the computer security management system can categorize computer security incidents according to selective properties referred to as attributes. Attributes are properties of computer security incidents that can assist in the task of prioritizing or just grouping computer security incidents. Attributes can assist in the decision making process of how to handle computer security incidents. Attributes can include, but are not limited to the following: computer incident severity; incident category; incident scope; incident status; attacker internet protocol (IP) address; attacker ISP name; attacker country; external attacker status; incident type; vulnerabilities potentially causing the incident; entry point; attack

profile; target networks; target firewalls; target hosts; target services; target accounts; and damage type. Each attribute can have one or more values or can comprise a scale of values. For example, for the computer incident severity attribute, values could include high, medium, low, unknown. Additionally, attributes do not need to be predefined. That is, attributes can be computer generated or variable or both. Attributes can be generated “on-the-fly” when different computer security incident scenarios are detected.

The computer security management system can be implemented in a graphical user interface, such as a web (Internet) interface that comprises thin or fat clients or both. The system can include multiple screen displays with data entry fields, buttons, menus, or any combination thereof. According to one aspect of the present invention, the computer security management system can generate displays for organizing and collecting information about a computer security incident. More specifically, the computer security management system can also provide a listing of investigation procedures as well as response procedures that are categorized and that can be selected based upon the type of security incident.

Each procedure can include one or more steps that can be displayed as text listed in a sequential order. In one illustrative embodiment, each step can be a “hyperlink” which activates a computer tool in response to clicking or mousing over the text of a step. Alternatively, some steps can be text instructions for a user to execute manually. For an investigation procedure, each computer tool that is linked to a step can be a separate program module, such as off-the-shelf software, that is designed to collect information about a computer security incident. For a response procedure, each computer tool that is linked to a step can be a separate program module, such as off-the-shelf software, that can change security configurations of networked computers or a network infrastructure in response to a computer security incident. In addition to presenting steps of investigation and response procedures in a logical manner, the steps can also include flags or warnings indicating the impact of the execution of the step at hand.

That is, each step can include a warning, caution, or signal that may be outputted as text, a screen pop-up message, an audio alert, or any combination thereof. For example, if a the execution of a certain step is desired, the computer security management system can display text indicating how execution of the step at hand could affect the network or tracking of a security incident. For example, the security manager system could indicate that a certain step may inform the source of a computer incident that he or she is being observed by the security manager

system. With the pre-execution step warnings or cautions and the sequential listing of steps of a procedure or checklist approach, less experienced or novice security personnel can conduct investigations and responses to computer security incidents. Further, the invention can provide a systematic approach to reacting to computer security incidents that can be repeated consistently by different security personnel. This systematic approach can be designed to meet the “business records” requirement for admissibility of evidence in a court of law.

After each step is executed, the computer security management system can save or record the step taken, the results produced by the step, the name of the computer security management system user, and a corresponding date or time stamp or both to a local database. The computer security management system can also display the results of each step so that a visual record is available to security personnel. The computer security management system is flexible. It can permit the addition, deletion, or modification of steps in a procedure. It can also permit regrouping or new groupings of steps to form new procedures. This flexibility permits the computer security management system to be customized for certain applications or computer networked configurations.

In addition to its programming flexibility, according to another exemplary of the invention, the computer security management system can be configured or programmed to respond to computer security incidents automatically, without any manual intervention. That is, the computer security management system can execute an entire procedure without requiring any user input depending upon the type of computer security incident detected. The computer security management system can automatically respond to computer security incidents in accordance with rules or logic that may be changed or updated.

According to yet another aspect of the present invention, the computer security management system can locate an appropriate computer to execute steps of a procedure by accessing a table containing predetermined data. For example, to execute certain steps in response procedures that may include activity or behavior that is restricted in a computer network, it may be necessary to find a computer located close to the perimeter or outer regions of the network to perform such restricted activities or behavior. In other words, in some response scenarios, it may be necessary to locate computers in a network that are not restricted to a limited number of “friendly” commands or operations.

In certain investigation or response scenarios, it may be also necessary for one or more main servers to identify tool servers (also called sensors) that may have stealth capability or, in other words, the ability to not be detected easily by the computer incident source. To locate such tool servers, a main or web server can access a table that contains one or more of the following parameters: the type or name of a step to be executed, Internet address ranges, and an appropriate tool server identifier or location. The Internet address ranges can correspond to sources or originators of computer security incidents, accomplices to computer security incidents, witnesses to computer security incidents, and computers that are subject to an attack. Based upon these parameters, an appropriate tool server can be identified and can complete one or more steps of a procedure. If a matching tool server does not exist for a certain step, then the main server of the computer security management system can recommend or use tool servers that are closest to an exact match. It is noted that the tool servers can be located anywhere on the Internet.

According to another aspect of the present invention, the computer security management system can display investigation and response steps in a non-procedural manner. For example, the computer security management system can display all available information and response steps as icons on a display screen. The icons could be displayed with out grouping them according to a procedure category, such as investigation procedure or response procedure. Alternatively, the icons could be grouped according to category. The computer security management system can suggest or indicate the next or most appropriate step to execute after a first step is executed. For example, when a first step is executed, the computer security management system could flash the icon of a step that is the more appropriate step to take as the second step. The computer security management system could also display warnings or cautions, as discussed above, in response to mouse-over activity upon an icon.

For another aspect of the present invention, the computer security management system can be stored in a distributed computer network. In other words, for this aspect of the present invention, the execution of steps of a procedure can be completed in an online environment where a graphical user interface (GUI) security client interacts with a server connected to a distributed computer network, such as the Internet. The server can contain the tools or steps to be executed or the server can be connected to a tool server that provides the tools or steps of procedures.

## BRIEF DESCRIPTION OF THE DRAWINGS

5                    Fig. 1 is a block diagram of a network personal computer that provides the exemplary operating environment for the present invention.

                  Fig. 2 is a functional block diagram illustrating exemplary network architecture for the present invention.

10                   Fig. 3 is a functional block diagram illustrating potential strategically located tool servers or security computers relative to a computer incident source.

                  Fig. 4A is an exemplary display screen of a software program for acquiring information about a computer security incident.

                  Fig. 4B is an exemplary display screen of a software program for defining and editing patterns that determine attributes.

15                   Fig. 5 is an exemplary display screen of a software program for acquiring information about an existing computer security incident in order to conduct a search within a database of security incidents.

                  Fig. 6 is an exemplary display screen of a software program for displaying search results for a search query conducted within a database of security incidents.

20                   Fig. 7 is an exemplary display screen of a software program for displaying results of an executed step in an investigation procedure and for listing steps of a particular investigation procedure that can be selected for execution.

25                   Fig. 8 is an exemplary display screen of a software program for acquiring information about a manually executed step and for listing steps of a particular investigation procedure that can be selected for execution.

                  Fig. 9 is an exemplary display screen of a software program for displaying security incident header information and for displaying records of executed steps of a procedure.

                  Fig. 10 is an exemplary display screen of a software program for modifying security incident header information.

Fig. 11 is an exemplary display screen of a software program for displaying results of an executed step in a response procedure and for listing steps of a particular response procedure that can be selected for execution.

Fig. 12 is an exemplary display screen of a software program for grouping steps to create a new procedure.

Fig. 13A is an exemplary display screen of a software program for listing authorization levels of users.

Fig. 13B is an exemplary display screen of a software program for creating new steps in a procedure.

Fig. 14 is an exemplary display screen of a software program for updating a step in a procedure.

Fig. 15 is an exemplary display screen of a software program for creating a new tool that can be invoked by a step in a procedure or that can be invoked manually.

Fig. 16 is an exemplary display screen of a software program for updating information about a tool.

Fig. 17 is an exemplary display screen of a software program for modifying an existing procedure.

Fig. 18 is an exemplary display screen of a software program for executing tools without following a procedure and for listing steps of a particular investigation procedure that can be selected for execution.

Fig. 19 is an exemplary display screen of a software program for executing tools, shown as icons, without following a procedure.

Fig. 20 is an exemplary display screen of a software program for displaying cautions or warnings prior to the execution of a step of a procedure.

Fig. 21A is an exemplary table listing strategic locations of computers relative to ranges of locations for potential computer incident sources.

Fig. 21B illustrates an exemplary report that can be generated by the security management system.

Fig. 21C illustrates an exemplary display screen of a software program for identifying tool servers within the security management system.

Fig. 22 is a logic flow diagram illustrating an exemplary embodiment of a method for managing and creating a record for one or more security incidents and reactions thereto.

Fig. 23 is a logic flow diagram illustrating an exemplary subprocess of Fig. 22 for displaying and recording executed steps of a procedure.

Fig. 24 is a logic flow diagram illustrating an exemplary subprocess of Fig. 23 for locating a strategically located tool server or security computer to execute a tool.

Fig. 25 is a logic flow diagram illustrating an exemplary subprocess of Fig. 22 for pausing a procedure.

Fig. 26 is a logic flow diagram illustrating an exemplary subprocess of Fig. 22 for performing a search of previously recorded security incidents.

Fig. 27 is a logic flow diagram illustrating an exemplary subprocess of Fig. 22 for adding or deleting a tool or step.

Fig. 28 is a logic flow diagram illustrating an exemplary subprocess of Fig. 22 for creating or modifying a procedure.

Fig. 29 is a logic flow diagram illustrating an exemplary subprocess of Fig. 22 for running tools or steps without a formal procedure.

## DETAILED DESCRIPTION OF EXEMPLARY EMBODIMENTS

The present invention may be embodied in program modules that run in a distributed computing environment. In an illustrative embodiment, the present invention is embodied in program module running on a personal computer as a client that accesses a server program module. Both program modules form a system for logging, investigating, responding, and tracking computer security incidents that can occur in a networked computer system.

### Illustrative Operating Environment

Although the illustrative embodiment will be generally described in the context of an program modules running on a personal computer and a server, those skilled in the art will recognize that the present invention may be implemented in conjunction with operating system programs or with other types of program modules for other types of computers. Furthermore, those skilled in the art will recognize that the present invention may be implemented in either a stand-alone or in a distributed computing environment or both. In a distributed computing

environment, program modules may be physically located in different local and remote memory storage devices. Execution of the program modules may occur locally in a stand-alone manner or remotely in a client server manner. Examples of such distributed computing environments include local area networks and the Internet.

5           The detailed description that follows is represented largely in terms of processes and symbolic representations of operations by conventional computer components, including a processing unit (a processor), memory storage devices, connected display devices, and input devices. Furthermore, these processes and operations may utilize conventional computer components in a heterogeneous distributed computing environment, including remote file  
10 servers, computer servers, and memory storage devices. Each of these conventional distributed computing components is accessible by the processor via a communication network.

          The processes and operations performed by the computer include the manipulation of signals by a processor and the maintenance of these signals within data structures resident in one or more memory storage devices. For the purposes of this discussion, a process is generally  
15 conceived to be a sequence of computer-executed steps leading to a desired result. These steps usually require physical manipulations of physical quantities. Usually, though not necessarily, these quantities take the form of electrical, magnetic, or optical signals capable of being stored, transferred, combined, compared, or otherwise manipulated. It is convention for those skilled in the art to refer to representations of these signals as bits, bytes, words, information, elements,  
20 symbols, characters, numbers, points, data, entries, objects, images, files, or the like. It should be kept in mind, however, that these and similar terms are associated with appropriate physical quantities for computer operations, and that these terms are merely conventional labels applied to physical quantities that exist within and during operation of the computer.

          It should also be understood that manipulations within the computer are often referred to  
25 in terms such as creating, adding, calculating, comparing, moving, receiving, determining, identifying, populating, loading, executing, etc. that are often associated with manual operations performed by a human operator. The operations described herein are machine operations performed in conjunction with various input provided by a human operator or user that interacts with the computer.

30           In addition, it should be understood that the programs, processes, methods, etc. described herein are not related or limited to any particular computer or apparatus. Rather, various types of

general purpose machines may be used with the program modules constructed in accordance with the teachings described herein. Similarly, it may prove advantageous to construct a specialized apparatus to perform the method steps described herein by way of dedicated computer systems in a specific network architecture with hard-wired logic or programs stored in nonvolatile memory, such as read-only memory.

Referring now to the drawings, in which like numerals represent like elements throughout the several figures, aspects of the present invention and the illustrative operating environment will be described.

Fig. 1 and the following discussion are intended to provide a brief, general description of a suitable computing environment in which the invention may be implemented. Referring now to Fig. 1, an illustrative environment for implementing the invention includes a conventional personal computer **100**, including a processing unit **102**, a system memory, including read only memory (ROM) **104** and random access memory (RAM) **108**, and a system bus **105** that couples the system memory to the processing unit **102**. The read only memory (ROM) **104** includes a basic input/output system **106** (BIOS), containing the basic routines that help to transfer information between elements within the personal computer **100**, such as during start-up. The personal computer **100** further includes a hard disk drive **118** and an optical disk drive **122**, e.g., for reading a CD-ROM disk or DVD disk, or to read from or write to other optical media. The drives and their associated computer-readable media provide nonvolatile storage for the personal computer **100**. Although the description of computer-readable media above refers to a hard disk, a removable magnetic disk and a CD-ROM or DVD-ROM disk, it should be appreciated by those skilled in the art that other types of media are readable by a computer, such as magnetic cassettes, flash memory cards, digital video disks, Bernoulli cartridges, and the like, may also be used in the illustrative operating environment.

A number of program modules may be stored in the drives and RAM **108**, including an operating system **114** and one or more application programs **110**, such as a program for browsing the world-wide-web, such as WWW browser **112**. Such program modules may be stored on hard disk drive **118** and loaded into RAM **108** either partially or fully for execution.

A user may enter commands and information into the personal computer **100** through a keyboard **128** and pointing device, such as a mouse **130**. Other control input devices (not shown) may include a microphone, joystick, game pad, satellite dish, scanner, or the like. These

and other input devices are often connected to the processing unit 100 through an input/output interface 120 that is coupled to the system bus, but may be connected by other interfaces, such as a game port, universal serial bus, or firewire port. A display monitor 126 or other type of display device is also connected to the system bus 105 via an interface, such as a video display adapter 116. In addition to the monitor, personal computers typically include other peripheral output devices (not shown), such as speakers or printers. The personal computer 100 may be capable of displaying a graphical user interface on monitor 126.

The personal computer 100 may operate in a networked environment using logical connections to one or more remote computers, such as a host computer 140. The host computer 140 may be a server, a router, a peer device or other common network node, and typically includes many or all of the elements described relative to the personal computer 100. The LAN 136 may be further connected to an internet service provider 134 ("ISP") for access to the Internet 138. In this manner, WWW browser 112 may connect to host computer 140 through LAN 136, ISP 134, and the Internet 138. Such networking environments are commonplace in offices, enterprise-wide computer networks, intranets and the Internet.

When used in a LAN networking environment, the personal computer 100 is connected to the LAN 136 through a network interface unit 124. When used in a WAN networking environment, the personal computer 100 typically includes a modem 132 or other means for establishing communications through the internet service provider 134 to the Internet. The modem 132, which may be internal or external, is connected to the system bus 105 via the input/output interface 120. It will be appreciated that the network connections shown are illustrative and other means of establishing a communications link between the computers may be used.

The operating system 114 generally controls the operation of the previously discussed personal computer 100, including input/output operations. In the illustrative operating environment, the invention is used in conjunction with Microsoft Corporation's "Windows NT" operating system and a WWW browser 112, such as Microsoft Corporation's Internet Explorer or Netscape Corporation's Navigator, operating under this operating system. However, it should be understood that the invention can be implemented for use in other operating systems, such as Microsoft Corporation's "WINDOWS 3.1," "WINDOWS 95", "WINDOWS 98" and "WINDOWS 2000" operating systems, IBM Corporation's "OS/2" and "AIX" operating system,

SunSoft's "SOLARIS" operating system used in workstations manufactured by Sun Microsystems, and the operating systems used in "MACINTOSH" computers manufactured by Apple Computer, Inc. Likewise, the invention may be implemented for use with other WWW browsers known to those skilled in the art.

5 Host computer 140 is also connected to the Internet 138, and may contain components similar to those contained in personal computer 100 described above. Additionally, host computer 140 may execute an application program for receiving requests for WWW pages, and for serving such pages to the requestor, such as WWW server 142. According to an embodiment of the present invention, WWW server 142 may receive requests for WWW pages 150 or other documents from WWW browser 112. In response to these requests, WWW server 142 may transmit WWW pages 150 comprising hyper-text markup language ("HTML") or other markup language files, such as eXtensible Markup Language (XML), to WWW browser 112. Likewise, WWW server 142 may also transmit requested data files 148, such as graphical images or text information, to WWW browser 112. WWW server 142 may also execute scripts 144, such as CGI, PERL, ASP, or JSP (Java Server Pages) scripts, to dynamically produce WWW pages 150 for transmission to WWW browser 112. WWW server 142 may also transmit scripts 144, such as a script written in JavaScript, to WWW browser 112 for execution.

15 Similarly, WWW server 142 may transmit programs written in the Java programming language, developed by Sun Microsystems, Inc., to WWW browser 112 for execution. The WWW server 142 could comprise a UNIX platform running Apache or Netscape webserver. Alternatively, the WWW server 142 could comprise an Internet Information Server (IIS). The present invention is not limited to these enumerated examples. Other web server environments are not beyond the scope of the present invention.

20 As will be described in more detail below, aspects of the present invention may be embodied in application programs executed by host computer 142, such as scripts 144, or may be embodied in application programs executed by computer 100, such as Java applications 146. Those skilled in the art will also appreciate that aspects of the invention may also be embodied in a stand-alone application program.

25 Referring now to Figure 2, the computer architecture for one exemplary embodiment of the present invention will be described. Figure 2 illustrates a System 20 for automatically creating a record for one or more security incidents and reactions thereto. This security

management system **20** can include a main server **22** that is linked to a tool server **24**, a local data base **26**, and a graphical user interface (GUI) Client **28**. The main server **22** and GUI Client **28** can form a client/server architecture that makes use of distributed intelligence to treat both the main server **22** and the GUI Client **28** as intelligent, programmable devices, thus exploiting the full computing power of each device. The GUI Client **28** can be a complete, stand alone personal computer which offers the user a full range of power and features for running program modules. The main server **22** can be a personal computer, a mini computer, or mainframe that provides the traditional strengths offered by mini computers and mainframes in a time-sharing environment. The main server **22** and GUI Client **28** can comprise the exemplary hardware and software discussed above with respect to Fig. 1. Further, it is possible to combine all program modules discussed above and run them on a single computer hardware platform.

The main server **22** can communicate with GUI Clients **28** using HTTP, however, other communication protocols may be used (e.g., CORBA, RMI). The tool server **24** can also be a personal computer, a mini computer, or mainframe that provides access to tools or program modules **34** that can be used to gather information or make changes to a security configuration of network computers or a network infrastructure. Alternatively, as indicated by the dotted line **32**, the tool server **24** and main server **22** can be a single machine or computer that provides client services in addition to access to tools **34**. It is also possible for some tools to be implemented directly on the main server **22** for convenience as opposed executing separate application programs. That is, the functionality of off-the-shelf program modules, such as nmap, traceroute, and other like modules, can be incorporated into a single module running on a single main server **22**. A tool server **24** may be referred to as a sensor (as discussed below with respect to Fig. 3) for observing a computer incident source. But a tool server may also perform functions other than those of a sensor, such as configuration changes.

The tools **34** accessed by tool server **24** can comprise program modules that can be used to gather information or make changes to a security configuration of network computers or a network infrastructure. Tools **34** may also comprise off-the-shelf program modules. For example, the step “traceroute” discussed later is an off-the-shelf program. Other off-the-shelf programs include, but are not limited to, a program module entitled “NMAP”, a program module entitled “PING”, and other like program modules.

In one exemplary embodiment, a tool **34** could be split into a local module **30** and a remote module **32**. For example, the local module **30** could run on the tool server **24** while the remote module **32** could run on a user workstation **380** (discussed below) that may contain the GUI client **28**. The location of the remote module **32** is not limited to a user workstation **380**.  
5 Other potential locations include, but are not limited to, FTP servers, WWW servers, database servers, name servers, file servers, and other like computers. For the user workstation **380** example, a function of the remote module **32** could be to check the file system integrity of a user workstation **380**. The remote module **32** could check for changes in permissions or whether files of a user workstation **380** have been improperly modified. The present invention is not limited  
10 to this type of file system integrity information. Other information that can be collected by the remote module **32** includes, but is not limited to, the status of processes currently running on the user workstation **380**, configuration changes, the status of current configurations, the contents of log files, and other similar information.

If a user workstation **380** was subject to a computer security incident such as an attack,  
15 the local tool module **30** could query the remote module **32** disposed within the user workstation **380** to determine the file system integrity of the user workstation **380**. The functionality and operability of the remote module **32** and local module **30** are not limited to this example. Other functions and operations of such a remote / local tool combination are not beyond the scope of the present invention.

20 Because of the client-server architecture of the security management system **20**, workflow between groups of users within a single organization or multiple organizations is enhanced. In other words, since the security management system **20** stores the intermediate results of a user's work in progress, partially completed investigations or responses to computer security incidents can be handed off to another user. This allows organizations to implement  
25 workflow, where part of the work, such as investigation for a computer security incident can be completed by one group of users while a different part such as a response to a computer security incident can be completed by another group of users.

Similar to the tool server **24**, the local data base **26** is connected to the main server **22**. The local data base **26** can be a server that includes its own data base composed of records. Each  
30 record can contain fields together with a set of operations for searching, sorting, recombining, and other functions. Typically, the local data base **26** houses or stores the security record

produced by the security management system **20**. The security record contains raw data that is received from the GUI Client **28** in data streams that are tagged with a digital signature. The digital signature can be based upon the United States government standard digital signature algorithm (DSA), as specified by the National Institute of Standards and Technology, in Federal Information Processing Standard (FIPS) 186. The digital signature can be extra data, such as a cryptographic checksum, appended to a message which identifies and authenticates the sender and message data using public-key encryption. The present invention is not limited to the government standard DSA and can include any other like encryption or security technology that insures authenticity of data.

The security record should be permanent or unmodifiable so that its contents can be admitted as forensic evidence in a court of law. The contents of the security record can be copied to another medium so that the copy on the other medium can be manipulated or processed to make the contents derived from the permanent security record more easy to understand. The structure of the local data base **26** can be modified. For example, if dual computer records are necessary to provide corroboration, then the local data base **26** can be structured such that redundant computer records can be maintained.

Referring now to Figure 3, a functional block diagram of strategically located GUI clients **280** and sensors or tool servers **390** relative to a computer incident source **310** are illustrated. Sensors or tool servers **390** can be computers that run requests (usually steps of a procedure) originating from GUI clients **280** via main servers **22** to perform steps or execute tools of a procedure. GUI Clients **280** can be the client software or program modules of the present invention that run on user workstation hardware. GUI Clients **280** can access the servers **22** which in turn, access the tools **34** on one or more tool servers **24** (also referred to as sensors **390** in Figure 3). The computer incident source **310** can be a computer or network of computers that originate malware or an attack against a network **350**.

The computer incident source **310** can be connected to a server **322** of a local area network. Alternatively, instead of a server **322**, the computer incident source **310** can be connected to a dial-in Internet service provider (ISP) or any computer connected to the Internet. The server **322** or ISP (or the computer connected to the Internet) can then be connected to a router **330**. The router **330** provides access to a distributed computer network such as the Internet **340**. While the computer incident source **310** can be located outside of the network **350**,

it is possible for the computer incident source **310** to be located within the network **350**. That is, a computer incident source **310** could be a user work station **380** located within the network **350**. For example, in the case of a disgruntled employee within a company, a user work station **380** could be used as a computer incident source **310** when the employee decides to interfere or hamper the operations of the network **350** or one or more other workstations **380** within the network **350**.

Through the Internet **340**, the computer incident source **310** may try to access the network **350** that may be part of a company, an Internet service provider (ISP), an educational facility, or another private entity, or any other similar type network. The network **350** is connected to the Internet **340** by and external router **365** and by a firewall **360**. The firewall **360** can comprise a bastion host or similar device. The firewall **360** can also be connected to an interior router **370** that may examine all packets of data traveling to and from the internal screening router **370**. The user workstations **380** can be stand alone personal computers that access servers **22**. Since the security management system **20** can be implemented with a client/server architecture, it is possible for user workstations **380** to become GUI clients **280** when a user workstation **380** has the appropriate client software and access keys to interact with the tool server **24** and local data base **26**.

The user workstations **380**, GUI clients **280**, sensors **390**, and servers **22** form a large network **350**. The large network **350** may comprise one or more sub-networks, such as sub-network NET I and sub-network NET II.

Sub-network NET I may have different security protocols relative to sub-network NET II. For example, user workstations **380**, GUI clients **280**, and sensors **390** in the sub-network NET I may not be granted access to certain Internet sites and may not be able to perform certain functions that are considered obnoxious or intrusive computer behavior. On the other hand user workstations **380** , GUI clients **280**, and sensors **390** within sub-network NET II may have unlimited access to Internet sites as well as the capability to perform all functions, including those functions considered to be obnoxious or intrusive computer behavior. More specifically, the GUI clients **280**, user workstations **380**, and sensors **390** within sub-network NET I may be restricted from using packet Internet gropers (PINGs) while user workstations **380**, GUI clients **280**, and sensors **390** within sub-network NET II may be able to send PING request packets to any computer outside of the large network **350**.

In light of the restrictions of the computers within sub-network NET I relative to the computers within sub-network NET II, it is apparent that the computers and sensors 390 within the sub-network NET II may offer significant and strategic advantages over the computers within sub-network NET I. The security management system 20 can locate an appropriate computer or sensor within either sub-network NET I or sub-network NET II to execute steps of a procedure by accessing a table containing predetermined data as will be discussed in further detail below with respect to figure 21. Although not illustrated, tool servers or sensors 390 can be located outside of the sub-networks and large network 350 and beyond sensor 390A and external router 365. That is, the tool servers or sensors 390 can be located anywhere on the Internet outside of the large network 350 and beyond external router 365, as long as the tool server 390 is connected to the Internet 340. For example, a tool server or sensor 390 could exist on the other side of external router 365, opposite large network 350.

To execute certain steps and response procedures that may include activity or behavior that is restricted in a computer network, such as found in sub-network NET I, it may be necessary to find a computer or sensor 390A located close to the perimeter or outer regions of a network to perform the restricted activities or behavior. In search and investigation or response scenarios, it may be also necessary to identify GUI clients 280 or sensors 390 that are not easily detected by the computer incident source 310. Sensors 390A outside of the large network 350 may have strategic advantages over other computers disposed within the large network 350. The security management system 20 is designed to identify or suggest the appropriate computer to perform a step in a procedure based upon tabulated data which will be discussed in further detail with respect to figure 21. In other words, certain GUI clients 280 or sensors 390 may be able to track activity of a computer incident source 310 without the computer incident source 310 sensing the tracking activity of a GUI client 280 or sensor 390.

In another exemplary embodiment (not illustrated), a tool server 390 could be loaded on a user workstation 380. That is, a tool server 390 and tools 34 could be present on a personal computer that can also be used as a workstation 380. Having a tool server 390 and tools 34 on a personal computer that could be a target of a computer security incident can increase the incident investigation and response capabilities of the security management system 20. For example, computer files on a personal computer, such as a user workstation 380, are not generally accessible from other computers within a network 350 or outside a network 350. However, if a

tool server 390 was loaded on a user workstation 380, the files of user workstation 380 could be examined by the tool server 390 with its corresponding tools 34. Such a tool server 390 running on a workstation 380 would permit investigation for modified files or modified file permissions or both within the workstation 380. Other information that can be monitored by a tool server 390 running on a workstation 380 includes, but is not limited to, the status of processes currently running on the user workstation 380, the applications currently running on the user workstation 380, the status of users logged onto the network 350, configuration changes, the status of current configurations, the contents of log files (user log files, configuration log files, etc.), any records of system or application changes, and other similar information. Another capability of a tool server 390 in combination with a user workstation 380 is that the tool server 390 could prevent undesirable processes, such as Trojan horses. Generally, stopping Trojan horses remotely across a network can be very difficult. Since the tool server 390 of this exemplary embodiment can be present on the same machine as a Trojan horse, any damage from a Trojan horse can be contained or substantially eliminated.

For this exemplary embodiment, tools 34 can be pre-loaded on the combination tool server 390 / user workstation 380. Alternatively, tools 34 can be installed on the combination tool server 390 / workstation 380 when they are needed. When tools 34 are installed as they are needed, this could prevent the tools 34 from being modified by a hacker or program module that obtains access to the combination tool server 390 / user workstation 380.

The present invention is not limited to the combination tool server 390 / user workstation 380. The tool server 390 can reside at other locations. Other locations include, but are not limited to, FTP servers, WWW servers, database servers, name servers, file servers, and other like locations.

Referring now to Figure 4A, an exemplary display screen 400A can be generated in order to acquire information about a computer security incident. Display screen 400 illustrates a form 405 that can be used to track and identify suspicious computer activity or computer behavior. Display screen 400A can be generated upon the selection of an incident tab 425. Incident tab 425 includes the following commands: a report command 430, a view command 435, a search command 440, and an edit command 450. The view command 435 enables a user to select a particular computer security incident to be displayed on the display screen. The search command 440 activates the search window as will be discussed with respect to Figure 5. The

edit command 450 enables the modification or rearranging of data for a previously entered computer security incident. The security management system 20 can be part of other systems or programs that are capable of detecting and displaying computer security incidents. For example, the security management system can be part of an alert system 455 as illustrated in Figure 4 (as will be discussed in further detail below).

Form 405 can be generated when the report command 430 is activated. Form 405 may include a plurality of fields 410 that provide summary information of a particular computer security incident. For example, the summary information fields 410 may comprise attributes. Attributes are properties of computer security incidents that can assist in the task of prioritizing or grouping of computer security incidents. Attributes can also assist a computer or a person in selecting an appropriate investigation or response procedure. However, attributes are not limited to these exemplary functions.

Attributes can include, but are not limited to the following: computer incident severity; incident category; incident scope; incident status; attacker internet protocol (IP) address; attacker ISP name; attacker country; external attacker status; incident type; vulnerabilities potentially causing the incident; entry point; attack profile; target networks; target firewalls; target hosts; target services; target accounts; and damage type. Each attribute can have one or more values or can comprise a scale of values. As noted above, attributes can assist in the decision making process of how to handle computer security incidents. Additionally, attributes do not need to be predefined. That is, attributes can be computer generated or variable or both. Attributes can be generated “on-the-fly” when different computer security incident scenarios are detected in order to assist in the selection of the appropriate investigation or response procedure, or both.

#### Exemplary Predefined Attribute Values

For the computer incident severity attribute, exemplary values could include high, medium, low, unknown, etc. The severity attribute can measure the damage degree caused by the incident or potential damage that might be caused by a computer security incident. The following paragraphs describe possible values of each attribute identified above:

The category attribute can include the following exemplary values: DoS attack, Integrity attack, Confidentiality attack, Relay attack, Unknown, etc. The category attribute can track at least three basic security aspects: availability, integrity, and confidentiality. The category

attribute measures which security aspects are compromised as a result of a computer security incident.

The scope attribute can include the following values: Entire Network, Multiple Subnets, Single Subnet, Multiple Hosts, Single Host, Multiple Services, Single Service, Multiple  
5 Accounts, Single Account, Unknown, etc. The scope attribute can measure how many systems or services or user accounts are affected by a computer security incident.

The incident status attribute can include the following values: In Progress, Not In Progress, Unknown. The incident status can measure whether the attack is in progress or not.

The attack IP address attribute can include the following values: an <IP Address>, 10 Unknown, etc. The attack IP address attribute can inform the user of the IP address of an intruder's machine. The IP address is usually (and currently) a 32-bit (four byte) binary number that uniquely identifies a host computer connected to the Internet to other Internet hosts, for the purposes of communication through the transfer of data packets. An IP address is expressed in "dotted quad" format consisting of the decimal values of its four bytes, separated with periods; 15 for example, 209.168.1.10.

The attack ISP name attribute can include the following values: <ISP Name>, Unknown, etc. The attack ISP name attribute can identify the intruder's Internet Service Provider's name. For example, an ISP name could be, but not limited to, any one of the following examples: aol.com (for America On Line); mindspring.com; netscape.net; and msn.com (for Microsoft  
20 Network), etc.

The attack country attribute can include the following values: <Country>, Unknown, etc. The attack country attribute can list the intruder's country name, such as, but not limited to, United States of America (USA); Japan; England; Germany; and other countries.

The external attacker attribute can include the following values: True, False, Unknown, 25 etc. The external attacker attribute can identify whether the intruder is from internal or external relative to a network.

The incident type attribute can include the following values: Accidental, Misuse, Intrusion, Unknown, etc. This attribute can measure the nature of the incident, such as whether the computer incident is an accidental incident, misuse or intrusion.

30 The vulnerabilities attribute can include the following values: <Security Check1>, <Security Check2>, Unknown, etc. The vulnerabilities attribute can measures which security

holes or problems in a network caused or contributed to the incident. A security check value is an index to a table of types of attacks and vulnerabilities. Security check data can identify the type of attack or computer incident or vulnerability.

The entry point can include the following values: Network, Modem, Terminal, Unknown, etc. The entry point can determine the approximate location of where a hacker gained access to a network or user workstation.

The attack profile attribute can include the following values: <Known Attacking Signature>, Unknown, etc. This attribute can determine if a computer attack matches a known signature.

The target network attribute can include the following values: <network\_address>, BLANK, etc. The target network attribute can identify the IP addressees of which networks or sub-networks are attacked.

The target firewalls attribute can include the following values: <firewall\_address>, BLANK, etc. The target firewalls attribute can identify the IP addresses of which firewalls are attacked within a network.

The target hosts attribute can include the following values: <host\_ip\_address>, BLANK, etc. This attribute can identify the IP addresses of which hosts are attacked.

The target services attribute can include the following values: <service\_name>, BLANK, etc. This target services attribute can identify which network services (such as WWW service) are attacked.

The target accounts attribute can include the following values: <account\_name>, BLANK, etc. The target networks can identify which user accounts are attacked.

The damage type attribute can include the following values: Network down, Server down, Service down, File lost, Account compromised, Unknown, etc. This attribute can measure the damage type caused by a computer security incident.

Referring now to Figure 4B, an exemplary display screen **400B** of a software program for defining and editing patterns that provide resultant attribute values. More specifically, patterns can extract data output from a tool server **24** to generate the attribute values discussed above. A configure pattern block **480** can acquire information about a new or existing pattern that forms a specific attribute value. Such information can include, but is not limited to, the following

parameters: pattern name; pattern expression; highlight subexpression; case insensitive, and test pattern.

The pattern name parameter can provide for a name that can used to identify a pattern so that the pattern may be used from multiple steps in a procedure. The pattern expression parameter can permit manual entry of a mathematical or logical expression that defines a pattern. The highlight subexpression parameter can identify a number of sub-expressions that are numbered, starting from zero. The subexpression parameter can determine which one of the sub-expressions is selected as the value. The case insensitive parameter can designate whether upper case and lower case letters should be considered equal while matching. The test pattern parameter can also be the mathematical or logical expression that was entered into the pattern expression parameter or field. The present invention is not limited to the parameters shown. Other pattern parameters are not beyond the scope of the present invention.

The test button **490** enables experimentation of test pattern entered into the configure pattern block **480**. Upon activation of the test button **490**, output of the pattern matching can be displayed to the user. This feature can be helpful in debugging patterns that provide attribute values. On unique feature of the invention is that pattern matching permits the extraction of information from the output of tools so that security incident investigations and responses can be conducted.

Referring back to Figure 4A, in the exemplary embodiment, fields **410** can include the following computer incident information: an incident name, an incident date and time, the user ID of the GUI client **280**, the user phone number, the user e-mail address, the department of the user; a status field of the computer security incidents, a computer security incident severity scale, a scope field, a status of the computer security incident field, a category field, an attack or origin field, an entry point field, a target field that identifies targets that are the focal point of a computer attack, a vulnerability exploited field, and a computer security incident type field.

The form **405** may further include a detailed description field **420** in which a security computer user enters or formulates a detailed description of a computer security incident. The security management system **20** is not limited to the fields **410**, **420** illustrated in Figure 4. Fewer or more fields can be employed to provide additional or a reduced amount of information about the computer security incident. Upon completion of a form **405**, a save data button **425** can be activated in order to store the information contained within the form **405** within the local

data base **26** that contains the security record. While the form **405** can be accessed at any time and data within the fields **410**, **420** can be modified or deleted, the local data base **26** will still maintain or save previous iterations or versions of the form **405**. In other words, the local data base **26** will save the original version of every form **405** that is saved in order to increase a security record's admissibility in a court of law as a detailed chronological and permanent file of the actions taken by security computer personnel.

While a security computer or security management system user may key-in the data for the fields **410**, **420** of form **405**, the security management system **20** can share information with different software modules outside of the security management system **20**. That is, other software modules outside of the security management system **20**, such as alert system **455**, can pre-populate the data fields in form **405**. The security management system **20** can operate in an environment with other security program modules. Other program modules can be capable of detecting and displaying suspicious computer activity.

When other program modules outside the security management system **20**, such as alert system **455**, detect such suspicious computer activity, these program modules can request a security management user to create a record of the incident with the form **405**. The outside program modules can fill in those fields of the form **405** for the information that the outside program modules detect and display to the user. The user may then complete the remaining fields of the form **405** if the remaining fields are blank or empty or if additional information fields are needed. The security management system **20** can then save this information for its own processing or it can forward the information to another program module.

That is, in one exemplary embodiment, the security management system **20** can operate as the link or "glue" between two or more separate program modules that operate independently of the security management system **20**. The security management system **20** can receive data from one program module, such as an alert system **455**, generate new data about a computer security incident, and then forward the new data or old data or both to another program module, such as a trouble ticket system (not shown). The trouble ticket system (not shown) could then generate reports on computer security incidents that require action from a user. The aforementioned program modules that could be linked together via the security management system **20** should be considered illustrative rather than exhaustive. In other words, the number

and types of program modules that can be linked to the security management system is not limited to those shown or discussed in this description.

Figure 5 illustrates an exemplary display screen 500 that can be generated in order to conduct a search within the data base 26. This display screen 500 can include one or more fields 510 that could be used to acquire information, such as attributes, about a particular or group of computer security incidents. The data fields 510 of display screen 500 can include any one of the following fields: an incident ID field, an incident name field, an incident status field, a severity field, a scope field, a status of attack field, a category field, specific date criteria fields, or any attribute of a computer security incident.

The search fields 510 of the search criteria block 505 usually match or are parallel to the data fields 410, 420 of the form 405 illustrated in Figure 4. The search criteria block 505 can be used by a security management system user that desires an organized display of computer security incidents that are either being tracked or have been tracked by the security management system 20. The number and type of search fields 510 are not limited to those illustrated in Figure 5 and can include fewer or more search fields in order to facilitate rapid searching of computer security incidents within the local data base 26.

Referring now to Figure 6, an exemplary display screen 600 can be generated in response to a computer security incident search conducted within the security management system 20. Specifically, display screen 600 can include a search results block or window 605 that may list a plurality of computer security incidents that are being tracked or have been tracked by the security management system 20. The listing of the computer security incidents can be sorted or organized in any fashion. That is, the result of a computer security incident search can be organized or sorted according to the ID number of a computer security incident, the status of a computer security incident, the incident name of a computer security incident, the incident date of a computer security incident, the report date of a computer security incident, or any attribute of a computer security incident. The present invention is not limited to the organization based upon the fields illustrated in Figure 6 and can include more or less fields depending upon a particular application of the security management system 20. Additionally, any one of the fields listed for a computer security incident that has been uncovered during a computer security incident search can be a hyperlink to another portion or functionality of the computer security management system 20.

For example, a user could click on the incident name field **610** of an uncovered computer security incident in order to view all of the current data for that particular computer security incident. A user could also click on the incident ID field **615** in order to activate or generate the form **405** of Figure 4 such that data of the form **405** as illustrated in Figure 4 could be modified or deleted. The computer security incidents uncovered during a computer security incident search can be organized according to the respective columns of fields being displayed for the results of the search. That is, by clicking upon a particular column identification name, the results of the computer security incident search can be organized according to the column name field that has been activated. For example, if a user desires to see the search results of a computer security incident search to be organized according to a computer security incident identification number, then the user would click upon the "ID" name field **620** in order to organize the uncovered computer security incidents according to their identification number.

Figure 7 illustrates an exemplary display screen **700** when the investigation tab **705** is selected or activated. The investigation tab **705** further includes the following commands: procedure **710**, tools **715**, action records **720** and document **725**. The procedure command **710** permits access to a window which will display all of the investigation procedures for the security management system **20**. The tool command **715** permits access to a list of tools that can be activated manually in a random fashion. The manual operation of tools will be discussed in a detailed fashion with respect to Figure 18. The action records command **720** can provide a list of investigation procedures that have already been implemented for computer security incidents that were detected. The document command **725** initiates a display that permits a user to enter data manually with respect to a computer security incident as will be discussed with respect to Figure 8.

A procedure drop-down list **730** and an incident drop-down list **735** will be displayed upon selection or activation of the investigation tab **705**. The procedure drop-down list **730** permits selection of one or more computer security incident investigation procedures that are part of the present invention. The incident drop-down list **735** permits the selection of one or more computer security incidents that are being investigated with the security management system **20**. Upon selecting a particular investigation procedure from the procedure drop-down list **730**, the actual steps of the selected investigation procedure will be displayed in frame **740**. Upon selection of a particular computer security incident from the computer incident drop-down list

735, an action record showing a summary of the incident as well as what actions have been taken will be displayed in frame 745.

While frame 740 lists the steps or tools of an investigation procedure, the actual steps or tools listed may also be hyperlinks that execute program modules upon their activation. For example, in step one, a tool 750 is labeled as “Run WhoIs”. The tool 750 is a separate program module that is designed to collect information from a database off of the Internet. Each tool or step listed in an investigation procedure can be a separate program module, such as, off-the-shelf software, that is designed to collect any kind of information about a computer security incident. Step or Tool functions or both can include, but are not limited to, gathering information either from the target of an attack or the source of an attack; modifying a networked environment (such as creating changes such as permanently blocking IP at a firewall or killing a connection); creating requests to modify a networked environment (such as creating a change order request to permanently block an IP at a firewall); modifying the state of an incident (such as marking an incident as closed); retrieving stored information (such as collecting archived information from a database); notifying users of a network with information (such as sending a web page, e-mail, or telephone message about an incident); coordinating workflow (such as sending information about an incident to some other system outside the security management system 20 for subsequent handling or processing, or directing the incident to another user within an incident response system contained within the security management system 20); changing the value of an attribute being tracked; finding information about the computer incident source; and other like functions.

The security management system 20 is designed to be flexible so that new steps or tools can be added readily to both investigation and response procedures. Therefore, the present invention is not limited to the steps or tools illustrated nor is the present invention limited to the categories of procedures shown in the drawings. Other tools that may comprise off-the-shelf program modules include the second step 755, listed as “RunNMap”, a program module entitled “Traceroute”, a program entitled “NS Lookup”, and other like program modules. Further, the present invention is not limited to the graphical user interface (GUI) devices of hyperlinks to activate steps of procedures. Other GUI devices include, but are not limited to, graphical elements such as “buttons”, drop down menus, icons, and other like GUI devices.

As noted above, frame **745** lists a summary of a computer security incident that is being analyzed in addition to all of the actions or activity taken by security personnel. These actions taken by security personnel are referred to as action records. The action records can be organized in any fashion such as according to chronology. In frame **745** of Figure 7, for example, the action records may be organized in an ascending order or descending order based upon the date of the action taken. Within each of the action records themselves, there may be hyperlinks such as hyperlink **760** that activates a window which permits the updating of a record of a computer security incident.

As noted above, frame **745** can display summary information of a computer security incident as well as detailed action records. Basically, the information displayed within frame **745** is an extraction of the unmodifiable raw data that is stored within the local data base **26** as illustrated in Figure 2. In other words, the information displayed in **745** is a copy of parts of the raw data or permanent security record stored in the local data base **26**. The information displayed within frame **745** can be modified, however, the actual raw data stored within the permanent record of the local data base **26** cannot be manipulated, changed, deleted or affected in any way by a user of the security management system **20**. Thus, the present invention is designed to maintain a high degree of integrity for the permanent security record that tracks and saves all data made by the security management system **20** including dates and times thereof in reaction to any suspicious or actual computer security incidents.

The procedures of the security management system **20**, such as the investigation procedure displayed in frame **740**, are designed such that the steps or tools of a procedure provide a systematic approach for reacting to various computer security incidents so that the procedures can be repeated consistently and by different security personnel. After each step or tool of a procedure is executed, the security management system **20** records the name of the step taken, the results produced by the step, and a corresponding date or time stamp or both within the security record of the local data base **26** (See Figure 2). In addition to the aforementioned information that can be recorded, the security management system can also record the name of the security personnel who initiated the particular step that is being recorded.

Further, other information may be stored after each step. Other information can include, but is not limited to, any of the information fields or attributes that are tracked relative to a computer security incident, such as the fields enumerated in form **405** of Figure 4. After

executing each step or tool of a procedure, the security management system **20** can also display the results of each step to the security personnel so that a visual record is available.

The procedures of the security management system **20** are set-up according to discrete steps that require security personnel or users to activate each step so that the security personnel or user of the security management system **20** can assess whether it is appropriate to take the next step of a particular procedure. For example, when tracking computer security incidents, it is possible that the computer incident source may detect the gathering or collecting of information by the security management system **20**. Certain steps may generate computer activity that could be detected by the computer incident source. By breaking up procedures into a finite number of tasks that are not automatically executed, the user or security personnel using the security management system **20** can assess whether a certain step may be detected by the computer incident source.

Furthermore, certain steps or tools of the procedures of the present invention could be restricted by certain networks since they could significantly affect the flow of information that originates from or is received by a computer network. For example, a step or tool called “kill connection” could interrupt information between a source computer and a destination computer. The “killing the connection” information from a particular Internet protocol address could significantly impact the workflow of innocent users on a network. For example, the plurality of users within a corporate network may require access to a database outside of a company. If a connection to the outside database is interrupted because it is suspected that a computer incident source may be part of such a database, then information or workflow originating from the corporate users or from the outside database connected to the corporate network may be negatively impacted. Moreover, if a step or tool called “block at firewall” is activated, then information or workflow originating from the corporate users or from the outside database connected to the corporate network could be permanently interrupted and thus eliminate each user’s access to the outside database.

In such a scenario, the users may not be able to conduct normal business transactions while the connection to the outside data base is terminated. Such a termination of a connection that affects a plurality of users could have substantial financial repercussions on the company. Therefore, breaking the procedures of the security management system **20** into discrete, finite

steps that are not automatically activated after each execution of a previous step will prevent inadvertent obnoxious or detrimental computer activity.

Referring now to Figure 8, an exemplary display screen 800 is generated when the document command 725 is activated. Specifically, in the last step or step 5 of the investigation procedure displayed in frame 740, security personnel in this exemplary procedure is required to call law enforcement officials from government agencies such as the Federal Bureau of Investigation (FBI), police, or other appropriate government agencies. In order to provide a complete record of the phone call by security personnel, the document command 725 can be activated so that data acquisition block 810 will be generated in order to obtain the appropriate information about the phone call to the police. Alternatively, (and not shown) the last step or the “Call FBI” step 805 of the investigation procedure can be a hyperlink that automatically activate the document command 725 such that the data acquisition block 810 is generated. As mentioned above, after the information is entered into the data acquisition or window 810, it is saved within the permanent security record of the local data base 26.

Figure 9 illustrates an exemplary display screen 900 when the incident tab 425 and view command 435 are activated. In response to the activation of the view command 435, frames 905 and 910 are generated. Within frame 905 is a view incident block 915 that displays summary or header information of a particular computer security incident. Within the view incident block 915, there is also a view incident drop-down list 920 that permits the selection of a particular computer security incident that has been tracked by the security management system 20. Upon the selection of a particular computer security incident from the view incident drop-down list 920, action records for the selected computer security incident will be displayed within frame 910. As noted above, action records are extractions or copies of parts of the information contained within the security record of the local data base 26. The action records can be organized in any fashion, such as in chronological order or reverse chronological order, or according to any attribute.

Referring now to Figure 10, an exemplary display screen 1000 can be generated after the incident tab 425 and edit command 450 are activated. In response to the activation of the edit command 450, an incident edit block 1005 is generated such that a user or security personnel can modify the header information or summary information of a particular computer security incident. This header information or summary information can be automatically generated by

the security management system. For example, the security management system **20** can extract information from the results of executed steps and make this information available for invocations of other tools or steps. The extracted information can also be made part of a database or incident log that is separate from the local database **26** that contains the permanent security record. This automatic extraction of information to produce header information of a security incident increases accuracy of stored information while reducing the amount of work for a user. That is, automatic extraction eliminates the need for the user to select and key-in pertinent information about a security incident. The present invention is not limited to auto-extraction of security incident header information. In other words, if manually entry of header information is desired, then the security management system **20** can be configured to accept such manual entry.

While a user or security personnel person can modify the header or summary information of the computer security incident, it is emphasized that the raw data or permanent record of the activity of the security management system **20** cannot be modified or deleted. That is, while a user may modify how a computer incident will be referred to during any future investigation or response to a particular incident, previous iterations or versions of the computer security incident contained within the permanent record of the local data base **26** cannot be changed or modified by way of the incident edit block **1005**.

Figure **11** illustrates an exemplary display screen **1100** when the response tab **1105** is activated. The following commands are contained within the response tab **1105**: a procedure command **1110**, a tools command **1115**, an action records command **1120**, and a document command **1125**. It is noted that the commands contained within the response tab **1105** are very similar to the commands available upon activation of the investigation tab **705** as illustrated in Figure **8**.

The tools command **1115** allows for the execution of tools in a free-form, random, or non-ordered fashion so that the tools can be selected without following a specific procedure. Activating the tools command **1115** will initiate a display similar to Figure **18** as will be discussed below. Activation of the action records command **1120** can generate a screen display that provides access to an action record similar to frame **1150**. Upon activation of the document command **1125**, a data acquisition block similar to data acquisition block **810** of Figure **8** will be generated so that data can be entered manually for a specific step of a response procedure. For

example, in step 3 of the DoS response procedure of frame 1145, the document command 1125 could be activated so that data could be entered manually regarding a phone call to the police, FBI, or any other law enforcement agency. Alternatively (and not illustrated) certain steps, such as the “call police” step of the response procedure of frame 1145 could be hyperlinks that would activate the document command 1125 or generate the data acquisition block similar to data acquisition block 810 of Figure 8.

Upon activation of the procedure command 1110, frame 1130 is generated which contains a response procedure drop-down list 1135 and a response incident drop-down list 1140. With the response procedure drop-down list 1135, a particular response procedure can be selected. Similarly with the response incident drop-down list, a particular computer security incident can be selected for generating a response thereto.

After selecting a particular response from the response procedure drop-down list 1135 and a particular computer security incident within the response incident drop-down list 1140, frames 1145 and 1150 are generated. Similar to frame 740 of Figure 8, frame 1145 of Figure 11 contains one or more steps that form a procedure. Frame 1150 contains header or summary information of the selected computer security incident as well as action records of the response activity already taken by security personnel or a user of the security management system 20. Similar to the action records for the investigation activity illustrated in frame 745 of Figure 7, the action records of response activity can be listed in chronological or reverse chronological order, or according to any attributes of a computer security incident. Also, action records can be updated by activating an Add Comments hyperlink 1155.

Similar to the investigation procedure, the steps of the response procedure listed in frame 1145 can be selected for execution at appropriate times as designated by the user of the security management system 20. After execution of each step, the security management system 20 can record a name or caption of the step taken, the results produced by the step, and a corresponding date or time stamp or both, in the security record of the local data base 26. The security management system 20 can also display the results of each step so that a visual record is available to the user of the security management system 20 or security personnel. Similar to the investigation procedure, each step of a response procedure can be selected at appropriate times so that it can be determined whether a specific step should be executed. In other words,

presenting steps in such a logical sequence without automatic execution of the steps permits a user to determine whether the execution of a specific step is appropriate for an instant of time.

Referring now to Figure 12, an exemplary display screen 1200 can be generated so that steps can be grouped in order to create a new procedure. Specifically, upon activation of a configure tab 1205, the following commands are displayed: a procedures command 1210, a tools command 1215, and procedure steps command 1220. Upon activation of the procedures command 1210, a create procedure block or window 1225 is generated. The create procedure block 1225 can permit the addition, deletion, or modification of steps in a procedure. For example, the create procedure block 1225 can include one or more fields for data acquisition for a particular new procedure or a pre-existing procedure. The create procedure block 1225 permits the naming of procedures as well as categorizing the type of procedure being created or modified. In the exemplary embodiment, a procedure can be characterized or categorized as either an investigation procedure or an incident response procedure. However, those skilled in the art will recognize that various other procedure categories can be generated and that other categories are not beyond the scope of the present invention.

The create procedure block 1225 in the exemplary embodiment permits the creation of a procedure by listing available steps 1230 that can be selected in order to create a selected steps list 1235. The present invention is not limited to the graphical user interface illustrated in Figure 12. Other graphical user interfaces are not beyond the scope of present invention. The create procedure block 1225 should be designed such that pre-existing steps can be selected and grouped in order to create new procedures. This flexibility of the present invention permits the security management system 20 to be customized for certain applications or for particular computer networks. Since less experienced or novice security personnel can conduct investigations and responses to computer security incidents with the security management system 20, access to the create procedure block 1225 can be restricted. For example, a password may be required in order to create new procedures or new steps for the security management system 20. Alternatively, only users with authorization, such as Identification codes, may be permitted to modify or change any of the procedures or steps within the security management system 20. Those skilled in the art will appreciate that the various access algorithms can be employed to restrict access to portions of the security management system 20 that can be altered or modified. The security management system 20 should be designed so that it can provide a

systematic approach to reacting to computer security incidents that can be repeated consistently by different security personnel or users of the security management system 20. Requiring authorization for certain steps or procedures can prevent changes to steps or procedures which, in turn, increases uniformity of results between users of similar authorization levels.

Figure 13A is an exemplary display screen 1300A of a software program for listing authorization levels of users. A permission table 1315 includes a users column 1320, a password column 1325, a configuration write column 1330, a configuration read column 1335, an incident write column 1340, an incident read column 1345, and an investigate column 1350. The number and types of permission areas or columns of the permission table 1315 are not limited to the columns shown. Other permission areas or columns are not beyond the scope of the present invention.

The configuration write column 1330 and configuration read column 1335 provide authorization for the writing and reading of security incidents. The investigate column 1350 provides authorization for access to the investigation procedures of the security management system 20. This display screen determines the type of access that users have with the security management system 20. The screen display buttons, add user 1355, update user 1360, delete user 1365, and save 1370, permit the creation, editing, or deletion or any combination thereof for users of the security management system 20.

Referring now to Figure 13B, an exemplary display screen 1300B provides a technique for creating new steps in a procedure. The new procedure block or window 1305 is generated upon activation of the procedure steps command 1220. The new procedure step block 1305 acquires data for the naming of a step, the categorization of a step, a brief description of a step, and the actual computer code for the step. If a step happens to be a program module that is an off-the-shelf software program, then one or more tools can be selected from the tool drop-down list 1310.

The new procedure step block 1305 is not limited to the graphical user interface shown. The new procedure step block 1305 should permit authorized users to create new steps for any of the procedures supported by the security management system 20. As noted above, since less experienced or novice security personnel can conduct investigations and responses to computer security incidents with the security management system 20, access to the new procedure step block 1305 can also be restricted. For example, a password may be required in order to create

new procedures or new steps for the security management system **20**. Alternatively, only users with particular IDs may be permitted to modify or change any of the procedures or steps within the security management system **20**.

Figure **14** illustrates an exemplary display screen **1400** that permits updating of a step in a procedure. After selecting a particular step, the update procedure step block **1405** can be generated to acquire modification data for a particular step of a procedure. The update procedure step block **1405** can include various fields for acquiring the modification data for a particular step. Similar to the new procedure step block **1305** of Figure **13**, the update procedure step block **1405** of Figure **14** can include step name fields, a description field, and a field to add specific coding of a particular step or tool. Also similar to the new procedure step block **1305** of Figure **13** as well as the create procedure block **125** of Figure **12**, access to the update procedure step block **1405** can be restricted. Restricted access to the aforementioned data acquisition blocks or windows can ensure that procedures will remain consistent during actual use which in turn also increases the chances that the security record stored in the local data base **26** will be admissible as evidence in a court of law. The security management system **20** should be designed such that the security records parallel daily business records that are kept in industry which are also usually admissible as evidence in a court of law.

Figure **15** illustrates an exemplary display screen **1500** for creating a new tool. The new tool block for window **1505** can be generated upon activation of the tools command **1215**. Similar to the create procedure block **1225** of Figure **12** and the new procedure step block **1305** of Figure **13**, the new tool block **1505** permits the creation of a new tool for a procedure. The new tool block **1505** can include various fields for acquiring data relating to a new tool. For example, the new tool block **1505** can include a tool name field **1510**, a universal resource locator field (URL) **1515**, a brief description field **1520**, a tool purpose field **1525**, and a categorization field (not illustrated). As noted above, a tool according to the present invention is a program module that can be an off-the-shelf software program that can be used to gather information or make changes to a security configuration of a computer network or network infrastructure. However, other tools are not beyond the scope of the present invention. Other tools can include any type of program module that could be used to track, identify, or react to a computer security incident.

Referring now to Figure 16, an exemplary display screen 1600 can be generated for updating information about a tool. In response to activation of the tool command 1215, the update tool block or window 1605 can be generated to acquire update information for a particular tool. The update tool block 1605 can include similar data acquisition fields relative to the new tool block 1505 as illustrated in Figure 15. However, one of ordinary skill in the art recognizes that the update tool block 1605 can include more or less fields for data acquisition compared to the new tool block 1505 as illustrated in Figure 15. The present invention is not limited to the graphical user interface illustrated in the drawings. Various user interfaces can be employed to collect pertinent information for updating a specific tool of a procedure.

Figure 17 illustrates an exemplary display screen 1700 for modifying an existing procedure. Specifically, exemplary display screen 1700 includes an update procedure block 1705 that can include various data acquisition fields that may be similar to the data acquisition fields present in the create procedure block 1225 of Figure 12. The update procedure block 1705 can include an available steps list 1710 and a select steps list 1715. The available steps list 1710 permits the selection of one or more steps that can be added into the selected steps list in order to perform an updated procedure. Similar to the create procedure block 1225 of Figure 12, access to the update procedure block 1705 can be restricted in order to ensure that only expert users have access to these features which can modify steps and procedures of the security management system 20.

Figure 18 illustrates an exemplary display screen 1800 for executing tools without following a procedure. Specifically, upon activation of the tools command 715 while the investigation tab is in focus, a new frame 1805 is generated that includes a select tool block or window 1810. The select tool block 1810 permits the selection of one or more tools without the formal listing of a procedure. The select tool block can include several drop-down lists or menus where tools can be separated by categories. Adjacent to each tool category can be a brief description of the category.

For example, a network monitoring tools drop-down list 1815 can include a corresponding description that provides a user with information about the category of the tools that can be selected from the drop-down list 1815. Similar to all of the aforementioned blocks or windows that can modify steps or procedures of the security management system 20, access to

the select tool block **1810** can be restricted to expert users so that consistent and more accurate results can be obtained by novice security personnel.

Also similar to steps or tools listed in a formal procedure, after each tool that is executed within the select tool block **1810**, the name of the tool, the results of the tool, and a corresponding date or time stamp or both can be stored within the security record of the local data base **26**. Furthermore, and it is not beyond the scope of the present invention to provide the security management system **20** with the capability of suggesting an appropriate tool to be executed based upon the computer security incident detected. Such a feature or capability will be discussed in further detail with respect to Figure **19**. The select tool block **1810** lists the tools for an investigation procedure. Conversely, a select tool block (not shown) similar to the select tool block **1810** of Figure **18** can be generated when the tools command **1115** is activated while the response tab **1105** is in focus.

Referring now to Figure **19**, an exemplary display screen **1900** can be generated for executing tools that can be activated by icons listed on the display screen **1900**. That is, the security management system **20** can display investigation in response steps or tools in a non-procedural manner. The icons can be displayed randomly or they can be grouped according to predefined categories. For example, a group of icons **1915** can be grouped as investigation tools or steps of an investigation category **1905**.

Similarly, a response group **1910** can include a plurality of response steps or tools **1920**. In order to facilitate rapid detection, response, and appropriate action to be taken with a particular computer security incident, the security management system **20** can suggest or indicate the next or most appropriate step to execute after a previous step has been executed. For example, when a first step is executed (not shown), the security management system **20** could flash the icon of a step that is more appropriate to take as a second step as denoted by the flash indicating lines **1925**. The security management system **20** can also display warnings or cautions in response to mouse-over activity upon an icon or step text as will be discussed in further detail with respect to Figure **20**.

Figure **20** illustrates an exemplary display screen **2000** for displaying cautions or warnings prior to the execution of a step of a procedure. That is, each step of a procedure can include a warning, a caution, or signal that may be outputted as a screen pop-up message **2005** or text **2010**, an audio alert, or any combination thereof. For example, if the execution of a certain

step is desired, such as step **2**, “reconfigure firewall” step, the security management system **20** can generate a screen pop-up message **2005** indicating how execution of this particular step could affect the network or tracking of a particular computer security incident. The security management system **20** could indicate that a certain step may inform the source of the computer incident that he or she is being tracked by the security management system **20**. Similarly, text **2010** can be placed adjacent to a step such as the “kill connection” step **1** in order to indicate any potential results of the execution of the particular step. The pre-execution step warnings or cautions **2005**, **2010** permit less experienced or novice security personnel to conduct investigations and responses to computer security incidents.

Referring now to Figure **21A**, an exemplary strategic machine table **2100A** can be generated to locate an appropriate computer, usually a tool server **24**, **390** (See Figures 2 and 3, respectively) to execute steps of a procedure. That is, the strategic machine table can be designed to locate tool servers **24**, **390** that can interrogate sources of one or more computer incidents. Typically, computers located deep inside an organization’s network may not be permitted to perform certain functions to computers outside of a network because of a firewall. Firewalls typically do not permit computers to interrogate other computers outside of the network protected by the one or more respective firewalls. It is noted that some security incidents can originate within a network and therefore, a respective firewall may not block actions taken by one or more computers within the network.

The strategic machine table may comprise a data base of information related to computers on a network or computers outside a network or both. For example, the strategic machine table **2100A** can include columns of information such as a first column **2105** that pertains to steps to be performed, Internet address ranges **2110**, and a strategic machine or tool server column **2115**. The Internet address ranges **2110** can correspond to sources or originators of computer security incidents, accomplices to computer security incidents, witnesses to computer security incidents, computers that are subject to an attack, or any combination thereof, in addition to other similar locations in a networked computer environment. The tool server column **2115** can list names of tool servers (shown) or it can list Internet addresses for tool servers (not shown).

The columns of information can be organized in order to create an association between data parameters such as steps to be performed, Internet address ranges, and the network location

of tool servers **24, 390** within a network. Although not illustrated, tool servers or sensors **390** can be located outside of the sub-networks and large network **350** and beyond sensor **390A** and external router **365**. That is, the tool servers **390** or sensors can be located anywhere on the Internet outside of the large network **350** and beyond external router **365**, as long as the tool server **390** is connected to the Internet **340**. Therefore, the tool server column **2115** can include tool servers or sensors **390** located outside of and beyond a particular network such as large network **350**. For example, a tool server or sensor **390** could exist on the other side of external router **365**, opposite large network **350**.

With this association, a computer can be located close to the perimeter or outer regions of a network to perform restricted behavior that may be part of a response or investigation procedure. In other words, in some response or investigation scenarios, it may be necessary to locate computers in a network that are not restricted to a limited number of “friendly commands or operations”. With the strategic machine table **2100A**, the security management system **20** can locate an appropriate computer, such as a tool server **24, 390** to execute steps of a procedure.

For example, referring back to Figure 3, the security management system **20** can locate a sensor or tool server **390** that is located outside a network **350**. Such a sensor **390** is disposed adjacent to external router **365**. The security management system **20** would utilize the table **2100A** to find the sensor **390** disposed adjacent to the external router **365**.

In certain investigation or response scenarios, it may be necessary to identify sensors **390** that can perform functions that are not usually permitted by a firewall. Based upon the parameters listed in the strategic machine table **2100A**, a sensor or tool server **390** can be identified to execute one or more steps of a procedure.

For example, if the source of a computer security incident or if the computer subject to an attack has an Internet address of 55.55.55.55 and the step to be performed is to “Block Connection”, then based upon the data in the Strategic Machine Table **2100A**, the most appropriate tool server **390** to execute this step would be tool server SC1 since the address of this computer incident source falls within the Internet address range of 00.00.00.00 - 100.100.100.100 listed in column **2110**. The computer security management system **20** could recommend tool server SC1 and any close or proximate tool servers. If the computer security management system **20** is operating in an automatic mode, then the step “Block Connection” could then be automatically performed by tool server SC1.

If a matching tool server or sensor **390** does not exist for a certain step, then the computer security management system **20** can recommend sensors **390** or computers that are close to or approximate to an exact match in the strategic machine table.

In one exemplary embodiment, if a tool server **390** is located within a user workstation **380**, the local tool server **390** could be the most appropriate server for certain steps to be performed by the computer security management system **20**. For example, for a local step, such as finding files with set user id (SUID) permission in a UNIX computer environment, the most appropriate machine to perform such a step would be a local tool server **390** (or local server module **30**) that could check specific computer files of a user workstation **380** that are typically unavailable to remote tool servers **390** (not installed on the user workstation **380**).

Figure **21B** illustrates an exemplary report **2100B** that can be generated by the security management system **20**. That is, the security management system **20** can generate reports of computer security incidents that are selected by a user. The report **2100B** can be organized according to various different data fields, such as the attributes discussed above. For example, a report can be generated according to the alphabetical order of the last names of the security agents who are using the security management system **20** of the present invention. However, the report capability is not limited to the listing shown in Fig. 21B. The report can be generated based upon other data fields or any combination of data fields. Other data fields can include, but are not limited to, the status of the computer security incident, the name of a computer security incident, procedures used in response to a computer security incident, the date of the computer security incident, the procedure start date for a computer security incident, a computer security incident source Internet protocol address, a target of a computer security incident, and any of the attributes discussed above.

In Figure **21C**, an exemplary display screen **2100C** of a software program for identifying tool servers within the security management system **20** is illustrated. A configure tool server block **2130** defines the tool servers **24** that are present within the security management system **20**. More specifically, tool server block **2130** can acquire parameters about the tool servers **24**. The tool server parameters may comprise the following: Host name; Host IP; Port number; Login account; password; and SSH Identity file, to name just a few. The Host name and Host IP parameters can define the name and IP address of a respective tool server **24**. The Port number can define the port number on the tool server **24** to which the main server **22** connects. The

Login account and password parameters can be the account name and password the main server **22** will use to login to the tool server **24**. The SSH (Secured Shell) identity file can be the filename on the main server **22** that is used for identification purposes with the tool server **24**. The file can contain a private RSA key (a key for a cryptographic algorithm) for the main server **22**. The public key can be located in the file with the same filename as the private key with the “.pub” appended. The present invention is not limited the tool server parameters shown. Fewer or more tool server parameters can be utilized to properly identify the tool servers **24** present within the security management system **20**.

Figure **22** is an exemplary logic flow diagram of a computer-implemented process for managing and creating a record for one or more security incidents and reactions thereto. Figure **22** provides an overview of the entire process where step **2205** is the first step of the process **2200**. In step **2205**, a computer system or network can be monitored for any computer security incidents and incident information can be obtained. For example, form **405** of Figure **4** can be generated in response to a user or security personnel activating the report command **430**. Alternatively, as noted above, since the security management system **20** can be integrated with other security monitoring and alert systems such as alert system **455**, form **405** can be generated in response to a system other than the security management system **20** detecting a computer security incident. Also noted above, when a system other than the security management system **20** detects a computer security incident, the other system can prepopulate the fields of form **405**.

In step **2210**, details of the computer’s security incident can be recorded with a corresponding date or time stamp or both after the data within the form **405** of Figure **4** are saved. That is, the data contained within form **405** of Figure **4** can be stored in the permanent record of the local data base **26**. Next, in step **2215**, an investigation procedure can be selected for a particular computer security incident. That is, the investigation tab **705** as illustrated in Figure **7** can be activated and a procedure can be selected from the procedure drop-down list **730**. Alternatively, a procedure could automatically be selected by the security management system **20** based upon rules or other logic. That is, the system **20** could review an incoming security incident and automatically select the most appropriate procedure to use to investigate or respond (or both) to a particular incident based upon rules or logic or both.

While an investigation procedure can be automatically selected by the security management system **20**, it is not beyond the scope of the present invention for the security management system **20** to suggest a particular procedure based upon the type of computer security incident detected. In other words, the security management system **20** could automatically recommend the most appropriate procedure for a computer security incident. This recommendation can be reviewed by a user and if accepted, either the security management system **20** or the user could execute the procedure. It is noted that the aforementioned discussion for the select investigation procedure step **2215** is equally applicable to the select response procedure step **2245**, which will be discussed in detail below. The present invention is not limited to automatically selecting or automatically executing investigation procedures. That is, the security management system **20** can also automatically select, execute, or suggest response procedures or any types of procedures supported by the system.

In routine **2220**, the selected investigation procedure can be displayed and the investigation steps as well as the name of the user can be recorded with a corresponding date or time stamp or both after execution of each respective step. Further details of routine **2220** will be discussed with reference to Figure **23**.

Following routine **2220**, in decision step **2225**, it is to determined whether a current active procedure should be paused. If the inquiry to decision step **2225** is positive, then the “yes” branch is followed to routine **2230** in which the active or current procedure is paused. If the inquiry to decision step **2225** is negative, then the “no” branch is followed to decision step **2235**.

In decision step **2235**, it is determined whether a previously recorded computer security incident should be opened. If the inquiry to decision step **2235** is positive, then the “yes” branch is followed to routine **2240** in which a search is performed and a computer security incident listed is selected. Further details of routine **2240** will be discussed with respect to Figure **26**. If the inquiry to decision step **2235** is negative, then the “no” branch is followed to step **2245** in which a response procedure is selected. For example, upon activating the response tab **1105** and procedure command **1110** as illustrated in Figure **11**, a response procedure drop-down list **1135** can be displayed in frame **1130** such that a response procedure can be selected. Next in routine **2250**, the selected response procedure can be displayed and the response steps as well as security management system user can be recorded with corresponding date or time stamps or both in the

permanent record of the local data base **26** after each execution of a respective step. Further details of routine **2250** will be discussed with respect to Figure **23**.

Steps **2205**, **2210**, **2215**, **2220**, **2245**, and **2250** can be executed automatically by the security management system **20**. That is, the security management system **20** can be configured or programmed to respond to security incidents automatically, without any manual intervention. The security management system **20** can execute these procedures without requiring any user input, depending upon the type of computer security incident detected. The security management system **20** can automatically respond to computer security incidents in accordance with rules or logic that may be changed or updated by a user or the system itself **20**. Further, the security management system **20** may be designed for partial automation. That is the security management system **20** may be granted the authority to execute some procedures automatically without consulting the user or the security management system **20** may execute some procedures after receiving permission from the user. As noted above, some procedures could have potentially severe consequences, so such procedures may be designed to be only implemented by a user. Other procedures can be innocuous, so such procedures could be run by the system **20** automatically and without user intervention.

Following routine **2250**, in decision step **2255**, it is determined whether a step or tool needs to be added, deleted, or modified. If the inquiry to decision step **2255** is positive, then the “yes” branch is followed to routine **2260** in which the relevant tool or step data is obtained. Further details of routine **2260** will be discussed with respect to Figure **27**.

If the inquiry to decision step **2255** is negative, then the “no” branch is followed to decision step **2265** in which it is determined whether a procedure needs to be added, deleted, or modified. If the inquiry to decision step **2265** is positive, then the “yes” branch is followed to routine **2270** in which procedure data is obtained. Further details of routine **2270** will be discussed with respect to Figure **28** below.

If the inquiry to decision step **2265** is negative, then the “no” branch is followed to decision step **2275** in which it is determined whether a tool will be run manually. If the inquiry to decision step **2275** is positive, then the “yes” branch is followed to routine **2280**. In routine **2280** available tools are listed and any selected tools are then run and recorded with a corresponding date or time stamp or both in the permanent record of the local data base **26**. Further details of routine **2280** will be discussed with respect to Figure **29** below.

If the inquiry to decision step **2275** is negative, then the “no” branch is followed to decision step **2285** in which it is determined whether the permanent record of the local data base **26** should be outputted to an output device, such as a printer or screen display, in a particular format. That is, in this step is determined whether the stored, raw data of the permanent record within the local data base **26** should be outputted to an output device.

If the inquiry to decision step **2285** is positive, then the “yes” branch is followed to step **2290** in which the permanent record of the recorded incidents and responses are outputted to a particular output device. For example, an output device could comprise a printer where the permanent record of local data base **26** could be printed out. If the inquiry to decision step **2285** is negative, then the “no” branch is followed to where the process ends.

Figure **23** illustrates the computer-implemented process for routines **2220**, **2250** of Figure **22** which can display an investigation or response procedure and record the steps of a procedure as they are executed. Routine **2220** begins with step **2300**, in which a list of available procedures can be displayed. That is, after activation of the investigation tab **705** and the procedure command **710**, a drop-down investigation procedure list **730** can be displayed. Next, in step **2305**, a particular procedure can be selected from the investigation procedure drop-down list **730**. Further, a particular incident can also be selected from the incident drop-down list **735**.

Following step **2305**, in step **2310**, the steps of the selected procedure can be displayed. For example, frame **740** of Figure **7** can be generated so that the steps of the selected investigation procedure are enumerated. Subsequently, in step **2315**, the step or tools listed can then be selected.

Next, in routine **2325**, an appropriate computer to execute the step or tool is located. Further details of routine **2325** will be discussed with respect to Figure **24** below. Following routine **2325**, in step **2330**, the selected step or tool is executed with the located or recommended computer. Next, in step **2335**, a brief description or name of the step, the result of the executed step, the name of the computer security system user or an id of the user, and a date or time stamp or both are stored or saved within the permanent record of the local data base **26**.

In step **2340**, portions or parts of the results of the executed steps can be extracted by the security management system **20** to describe a computer security incident. For example, the security management system **20** can extract information from the results and make this information available for invocations of other tools or steps. The extracted information can also

be made part of a database or incident log that is separate from the local database **26** that contains the permanent security record. This automatic extraction of information increases accuracy of stored information while reducing the amount of work for a user. That is, automatic extraction eliminates the need for the user to select and key-in pertinent information about a security incident. Subsequently, in step **2345**, the output (data) of the executed steps (that were recorded in step **2335**) can be formatted and forwarded to an appropriate output device (such as a screen display or printer) to be displayed. The process then returns to either step **2225** or **2255** of Figure **22**.

The output of the security management system **20** can comprise data other than unformatted text or numbers. For example, the execution of a particular tool could return a GIF or JPEG image, or a XML document, etc. The textual output could be string pattern matched to retrieve the information stored by the security management system **20**. Special purpose algorithms could be written to extract information from binary files.

Figure **24** illustrates the computer-implemented process for routine **2325** of Figure **23** which can locate the appropriate computer to execute a step or a tool. Routine **2325** begins with step **2400** in which a table of computers, such as the strategic machine table illustrated in Figure **21A**, is accessed. Next, in step **2405**, the selected step or tool is compared with the table. For example, the step that is to be performed or executed is located within the step to be performed in column **2105** as illustrated in Figure **21A**.

After step **2405**, in step **2410**, it is determined whether a matching computer or sensor **390** exists for the selected step or tool. That is, in step **2410**, the step to be performed is compared as well as the computer incident Internet address range of the activity that is to be performed is compared with the target Internet address range **2110** column. If the inquiry to decision step **2410** is positive, then the “yes” branch is followed to step **2415**. In step **2415**, the incident and command data is forwarded to the matching computer or sensor **390** for execution.

If the inquiry to decision step **2410** is negative, then the “no” branch is followed to step **2420** in which it is indicated that a matching computer does not exist and an appropriate substitute computer is recommended by the security management system **20**. Next, in step **2425**, selection of a computer to execute the step or tool is obtained. The process then returns to step **2330** of Figure **23**.

Figure 25 illustrates the computer-implemented process for routine 2230 of Figure 22 in which an active procedure is paused. Routine 2230 begins with step 2500 in which the status of a computer security incident is obtained. Next, in step 2505, the incident status information along with a corresponding date or time stamp or both is recorded in the permanent record of the local data base 26. Then, in step 2510, the incident is removed from the active status. Subsequently, the process returns to step 2235 of Figure 22.

Referring now to Figure 26, the computer implemented process for routine 2240 of Figure 22 is illustrated. Routine 2240 begins with step 2600 in which selection criteria for stored computer security incidents is displayed. For example, search criteria block 505 can be displayed so that one or more fields of information, such as attributes, about a particular computer security incident can be obtained. In step 2605, information relating to a particular computer security incident is obtained from the fields of the search criteria form block 505 as illustrated in Figure 5. Next, in 2610, the computer security incidents corresponding to the selection criteria entered into the search criteria block 505 are displayed. For example, the search results block or window 605 can be displayed as illustrated in Figure 6. Next, the process returns to step 2245 of Figure 22.

Figure 27 illustrates the computer-implemented process for routine 2260 of Figure 22 which can acquire additions, deletions, or modifications to a tool or step. Routine 2260 begins with step 2700 in which tool or step names to be added, modified, or deleted are obtained. For example, display screen 1300 of Figure 13 can be generated if a new procedure step is desired to be created. Display screen 1400 can be generated if a modification to a pre-existing step is desired. Furthermore, display screen 1500 of Figure 15 can be generated if a new tool is desired to be added to the security management system 20. Display screen 1600 can be generated if updates to a particular tool are desired.

In step 2705, corresponding tool or step information fields which are filled or unfilled, depending upon the tool status, are displayed. In step 2710, the tool or step information is obtained. Next, in step 2215, the tool or step information is saved. Subsequently, the process returns to step 2265 of Figure 22.

Figure 28 illustrates the computer-implemented process for routine 2270 of Figure 22 in which a procedure can be added, deleted, or modified. Routine 2270 begins with step 2800 in which the procedure name to be added, modified, or deleted is obtained. For example, display

screen **1700** can be generated in order to acquire update information for a pre-existing procedure. Alternatively, display screen **1200** can be generated in order to acquire information about a new procedure. Next, in step **2805**, the corresponding procedure information fields which can be filled or unfilled depending on the procedure status can be displayed. Subsequently, in step **2815**, the current steps or tools and available steps or tools are listed or displayed. For example, available step list **1230** of Figure **12** or available step list **1710** of Figure **17** can be generated. In step **2820** it is determined whether a step or tool will be added or deleted to a procedure or if a new procedure is created. If the inquiry to decision step **2820** is positive, then the “yes” branch is followed to step **2825** in which the step or tool information is obtained. If the inquiry to decision step **2820** is negative, then the “no” branch is followed to step **2830** in which the step or tool information is saved.

In decision step **2835**, it is determined whether a step or tool of the current procedure is desired to be modified. If the inquiry to decision step **2835** is positive, then the “yes” branch is followed to step **2840** in which the step or tool named to be modified is obtained. Next, in step **2845**, the step or tool information selected or obtained is displayed or listed. In step **2850**, the new or modified step or tool information is obtained. In step **2855**, the step or tool information is saved. If the inquiry to decision step **2835** is negative, then the “no” branch is followed. The process then returns to decision step **2275** of Figure **22**.

Figure **29** illustrates the computer-implemented process for routine **2280** in which tools can be ran or executed manually without a preset or predetermined procedure. Routine **2280** begins with step **2900** in which available tools are listed. For example, display screen **1800** can be generated where various tools can be listed according to predefined categories. As noted above, tools can be ran or executed manually for both investigation and response procedures. In step **2905**, tool selection information is obtained.

After step **2905**, in step **2910** the tool selection is executed. However, it is noted that at this point (while not shown) routine **2325** could be inserted at this point so that an appropriate computer can be located to execute the selected tool.

In step **2915**, the name or a summary of the executed tool, name of the security management system user or an id thereof, and results from the executed tool with a corresponding date or time stamp or both is recorded in the permanent record of the local data base **26**. Next, in step **2920**, the results of the executed tool are displayed. In decision step **2925**,

it is determined whether the tools are desired to be run manually. If the inquiry to decision step 2925 is positive, then the “yes” branch is followed to step 2900. If the inquiry to decision step 2925 is negative, then the “no” branch is followed where the process returns to step 2285 of Figure 22.

5        Once the security management system 20 accumulates a sequence of actions taken by a source of a computer security incident, the security management system 20 can profile the source of the computer security incident. The profiling subsystem of the security management system 20 could match the accumulated sequence to prototypical sequences. This profiling could be used to predict future actions that a source of a computer incident could take or help to  
10      identify the source behind a computer security incident. Identification of a computer security incident source can include any one or more of the following parameters: an ISP user id; an ISP provider; an internet protocol (IP) address of the computer security incident source; and the name, address, phone number, social security number and other like personal identification information corresponding to the authorized user of the internet protocol (IP) address of the  
15      computer security incident source.

To prevent identification, a source of a computer security incident could attempt to overwhelm the security management system 20 by creating a large number of decoy incidents. An attacker might do this to mask a real attack. To cope with this situation, the security management system 20 could have a mechanism or algorithm for separating important incidents  
20      from decoy incidents. The sorting mechanism could be open and user definable.

While the security management system 20 may have a series or group of steps linked together to form a procedure, procedures can also be linked together to form a procedure chaining protocol. That is, procedures may also invoke other procedures such as sub-procedures. After a sub-procedure is completed, the process may return to a calling procedure.

25        Another feature of the security management system 20 is that any action taken by a user may be subject to an authorization check. In other words, the security system 20 may provide restricted access to certain functions. For example, the following actions may require a search for the authorization or security or security level of a user: executing a procedure, changing an attribute on an incident. and configuring or editing procedures, steps, or tools.

30        While the present invention can be employed to detect computer security incidents that occur across a distributed network such as the Internet, the invention is not limited to this

application and can be used in other technology areas that require the detection and reaction to computer security incidents. For example, the present invention could be used for detecting security breaches for financial institutions, governmental data bases such as military data bases, and other like institutions. Moreover, as noted above, the present invention is not limited to  
5 detecting computer security incidents across the Internet. That is, the present invention can detect computer security incidents within a network, such as a local area network, of a particular organization.

It should be understood that the foregoing relates only to illustrative embodiments of the present invention, and that numerous changes may be made therein without the parting from the  
10 spirit and scope of the invention as defined by the following claims.

## CLAIMS

What is claimed is:

1. A method for automatically creating a record for one or more security incidents and reactions thereto, comprising the steps of:

- 5        recording security incident information with at least one of a date and time stamp;  
      providing data to enable display of a procedure;  
      receiving a selection of a procedure;  
      executing the selected procedure;  
      in response to executing the selected procedure, recording executed procedure  
10    information and results of the executed procedure with at least one of a date and time stamp; and  
      outputting a record comprising the security incident information, executed procedure  
      information, results of one or more executed procedures, an identity of a user who selected the  
      procedure, and at least one of a corresponding date stamp and time stamp.
- 15    2. The method of claim 1, wherein the record comprises an unmodifiable, permanent database.
3. The method of claim 1, further comprising the step of recording the results of the executed  
      procedure with a digital signature to enable detection of any modification of the recorded results,  
      whereby integrity of the recorded results can be monitored.
- 20    4. The method of claim 1, further comprising the step of extracting information from the results  
      of an executed procedure.
5. The method of claim 4, further comprising the step of describing a security incident with said  
25    extraction information.
6. The method of claim 1, further comprising the step of displaying information for a particular  
      security incident to more than one user.
- 30    7. The method of claim 1, further comprising the step of prepopulating fields of a record of a  
      first program module from a second program module.

8. The method of claim 1, further comprising the steps of:

receiving security incident information from a first program module;

processing the security incident information with a second program module; and

forwarding the processed security incident information from the second program module

5 to a third program module.

9. The method of claim 1, wherein the step of receiving a selection of a procedure comprises automatically selecting a procedure with a program module.

10 10. The method of claim 1, further comprises the step of suggesting a procedure with a program module based upon the type of security incident.

11. The method of claim 1, wherein each step is performed automatically by a program module.

15 12. The method of claim 1, wherein some of the steps are performed automatically by a program module.

13. The method of claim 1, further comprising the step of displaying reports comprising one or more computer security incidents.

20 14. The method of claim 1, wherein the results of an executed procedure comprise at least one of text, numbers, images, or formatted documents.

25 15. The method of claim 1, further comprising the step of predicting future actions of a source of a security incident.

16. The method of claim 1, further comprising the step of identifying the source of a security incident.

30 17. The method of claim 1, further comprising the step of sorting decoy or false security incidents from actual security incidents.

18. The method of claim 1, further comprising the step of linking a first procedure to a second procedure.

5 19. The method of claim 1, further comprising the step of determining the authorization level of a user.

10 20. The method of claim 1, wherein the step of providing data to enable display of a procedure further comprises the step of providing data for enabling display of one or more steps of a procedure.

21. The method of claim 1, further comprising the steps of:

providing data to enable display of a response procedure;

executing the response procedure; and

15 in response to executing the response procedure, recording executed response procedure information and results of the executed response procedure with at least one of a date and time stamp.

22. The method of claim 1, further comprising the steps of:

20 providing data to enable display of an investigation procedure;

executing the investigation procedure; and

in response to executing the investigation procedure, recording executed investigation procedure information and results of the executed investigation procedure with at least one of a date and time stamp.

25 23. The method of claim 21, wherein the step of providing data to enable display of the response procedure further comprises the step of providing data to enable display of one or more steps of the response procedure.

30 24. The method of claim 1, further comprising the step of providing data to enable display of results of the executed procedure.

25. The method of claim 23, further comprising the step of providing data to enable display of results of the executed response procedure.

5 26. The method of claim 1, further comprising the steps of:

identifying an appropriate computer to execute a step in the investigation procedure; and  
identifying an appropriate computer to execute a step in the response procedure.

27. The method of claim 26, further comprising the steps of:

10 accessing a table comprising computer locations and step information;  
comparing a step to be executed with computer locations listed in the table;  
determining if a match exists between the step to be executed and the computer locations;  
and  
if one or more matches exist, displaying the matching information or automatically  
15 selecting an appropriate location.

28. The method of claim 27, wherein the table further comprises Internet address ranges, the method further comprising the step of comparing an Internet address of a source of a security incident with the Internet address ranges of the table.

20 29. The method of claim 27, further comprising the step of providing data to enable display of an appropriate substitute computer location if a match does not exist.

25 30. The method of claim 27, further comprising the step of identifying an appropriate computer to execute a step in either an investigation or a response procedure, wherein the computer is strategically located relative to a source of a security incident.

30 31. The method of claim 1, wherein each procedure comprises one or more steps, the method further comprising the step of executing one or more program modules in response to a selection of a procedure.

32. The method of claim 31, wherein the one or more program modules comprise one or more software application programs that can operate as stand alone programs.

33. The method of claim 31, wherein at least one program module comprises an off-the-shelf software application program.

34. The method of claim 1, wherein the security incident information comprises predefined attributes.

35. The method of claim 34, wherein the predefined attributes comprise any one of a computer incident severity level, a computer incident category, a computer incident scope value, a computer incident status value, an attacker internet protocol (IP) address value, an attacker ISP name, an attacker country, an external attacker status value, an incident type value, a vulnerabilities level, an entry point value, an attack profile value, a target networks value, a target firewalls value, a target hosts value, a target services value, a target accounts value, and a damage type value.

36. The method of claim 1, wherein the security incident information comprises attributes that are at least one of variable and computer-generated.

37. The method of claim 35, further comprising the step of determining whether a security incident comprises an actual breach in security based upon values of its attributes.

38. The method of claim 1, further comprising the steps of:  
receiving a selection for a step of a procedure; and  
generating a pre-execution warning prior to the selection of a step.

39. The method of claim 1, further comprising the steps of:  
receiving a selection for a step of a procedure;  
executing the selected step; and  
suggesting an appropriate subsequent step in the procedure.

40. The method of claim 1, wherein each step is performed automatically in response to a detected computer security incident.

5 41. The method of claim 1, further comprising the steps of:

providing data to enable display of a plurality of computer tools in a non-procedural manner;

receiving a selection for a computer tool; and

executing the selected computer tool.

42. A method for organizing and recording reactions to one or more computer security incidents, comprising the steps of:

providing data to enable display of one or more security investigation procedures;

providing data to enable display of one or more security response procedures;

in response to a selection of a security investigation procedure, providing data to enable display of one or more corresponding investigation steps;

in response to a selection of a security response procedure, providing data to enable display of one or more corresponding response steps; and

generating a permanent record comprising security incident information, executed investigation step and result information, executed response step and result information, and corresponding date and time stamps.

43. The method of claim 42, further comprising the step of recording executed investigation step information and results of the executed investigation step with at least one of a date and time stamp in response to a selection of a step of an investigation procedure.

44. The method of claim 42, further comprising the step of recording executed response step information and results of the executed response step with at least one of a date and time stamp in response to a selection of a step of a response procedure.

45. The method of claim 42, further comprising the steps of:

providing data to enable display of a plurality of procedures;

in response to receiving a selection of a procedure, displaying a plurality of steps;

obtaining modification information for the selected procedure; and

storing the modification information.

46. The method of claim 42, further comprising the step of at least one of adding or deleting a step in a procedure.

47. The method of claim 42, further comprising the steps of:

providing data to enable display of a plurality of steps of a procedure;  
in response to selection of a step, providing data to enable display of detailed information  
fields related to the selected step;  
obtaining modification information for the selected step; and  
5 storing the modification information.

48. The method of claim 42, further comprising the step of at least one of adding, deleting, or  
modifying a step in a procedure.

10 49. The method of claim 42, further comprising the steps of:  
obtaining computer security incident search information; and  
providing data to enable display of one or more computer security incidents matching the  
computer security incident search information.

15 50. The method of claim 42, further comprising the steps of:  
tracking multiple computer security incidents; and  
storing information for each computer security in accordance with at least one of date and  
time stamp.

51. A method for selecting a computer that is strategically located relative to a source of a security incident, comprising the steps of:

accessing a table comprising computer locations, Internet address ranges, and security step information;

comparing a security step to be executed and a target Internet address with computer locations and Internet address ranges listed in the table;

determining if a match exists between the security step to be executed and the computer locations;

determining if a match exists between an Internet address of a security incident and the Internet address ranges listed in the table; and

selecting a computer to execute the security step based upon the matching steps, wherein the computer has a location and is capable of interacting with the Internet address of the security incident.

52. The method of claim 51, further comprising the step of:

if one or more matches exist, providing data to enable display of the matching information;

if a match does not exist, providing data to enable display of one or more appropriate substitute computer locations or automatically selecting an appropriate location.

53. The method of claim 51, wherein the security step comprises a portion of a security response procedure, wherein the computer is strategically located relative to a source of a security incident.

54. The method of claim 51, wherein the step comprises a portion of a security investigation procedure, wherein the computer is strategically located relative to a source of a security incident.

55. The method of claim 51, wherein each step to be executed in a security procedure comprises one or more off-the-shelf security application programs.

56. A method for generating a permanent record of one or more computer security incidents and reactions thereto, comprising the steps of:

displaying one or more tools;

receiving a selection of a tool;

in response to a selection of a tool, forwarding data for execution of the tool; and

forwarding data for generating a permanent record comprising security incident information, executed tool information, and corresponding date and time stamps.

57. The method of claim 56, further comprising the step of displaying the tools as icons on a computer display.

58. The method of claim 56, further comprising the step of displaying a plurality of tools that are selectable from a menu.

59. The method of claim 31, further comprising the step of installing the one or more program modules within a single program on a server.

60. The method of claim 31, further comprising the step of installing the one or more program modules on a single server.

61. The method of claim 31, further comprising the step of installing the one or more program modules on a computer that is a target of a computer incident.

62. The method of claim 31, further comprising the step of installing the one or more program modules on both a computer that is a target of a computer incident and a server.

63. The method of claim 27, wherein the table further comprises Internet address ranges, the method further comprising the step of comparing an Internet address of a computer subject to an attack or security breach with the Internet address ranges of the table.

64. The method of claim 27, wherein the table further comprises Internet address ranges, the method further comprising the step of comparing an Internet address of a witness to a security incident with the Internet address ranges of the table.

- 5 65. The method of claim 27, wherein the table further comprises Internet address ranges, the method further comprising the step of comparing an Internet address of an accomplice to a security incident with the Internet address ranges of the table.

66. The method of claim 27, wherein the table further comprises Internet address ranges, the method further comprising the step of comparing an Internet address of a witness to a security incident with the Internet address ranges of the table.

## ABSTRACT

A security management system can log, investigate, respond, and track computer security incidents that can occur in a networked computer system. In other words, the security management system can produce a security record of information related to the tracking of suspicious computer activity or actual computer security threats, such as denial of service attacks or other similar compromises to computers or computer networks. The security record can include, but is not limited to, date and times of computer security incidents, a name for a particular security incident, a security management system user, and a potential source of the computer security incident. The security record can be designed as a running log that saves or records all activity of a computer incident source as well as the activity of the security team responding to the computer incident source. To produce the security record, all data that relates to a computer incident and all data that relates to a computer incident response can be sent to a separate protected database, where data is protected by digital signature algorithms (DSAs).

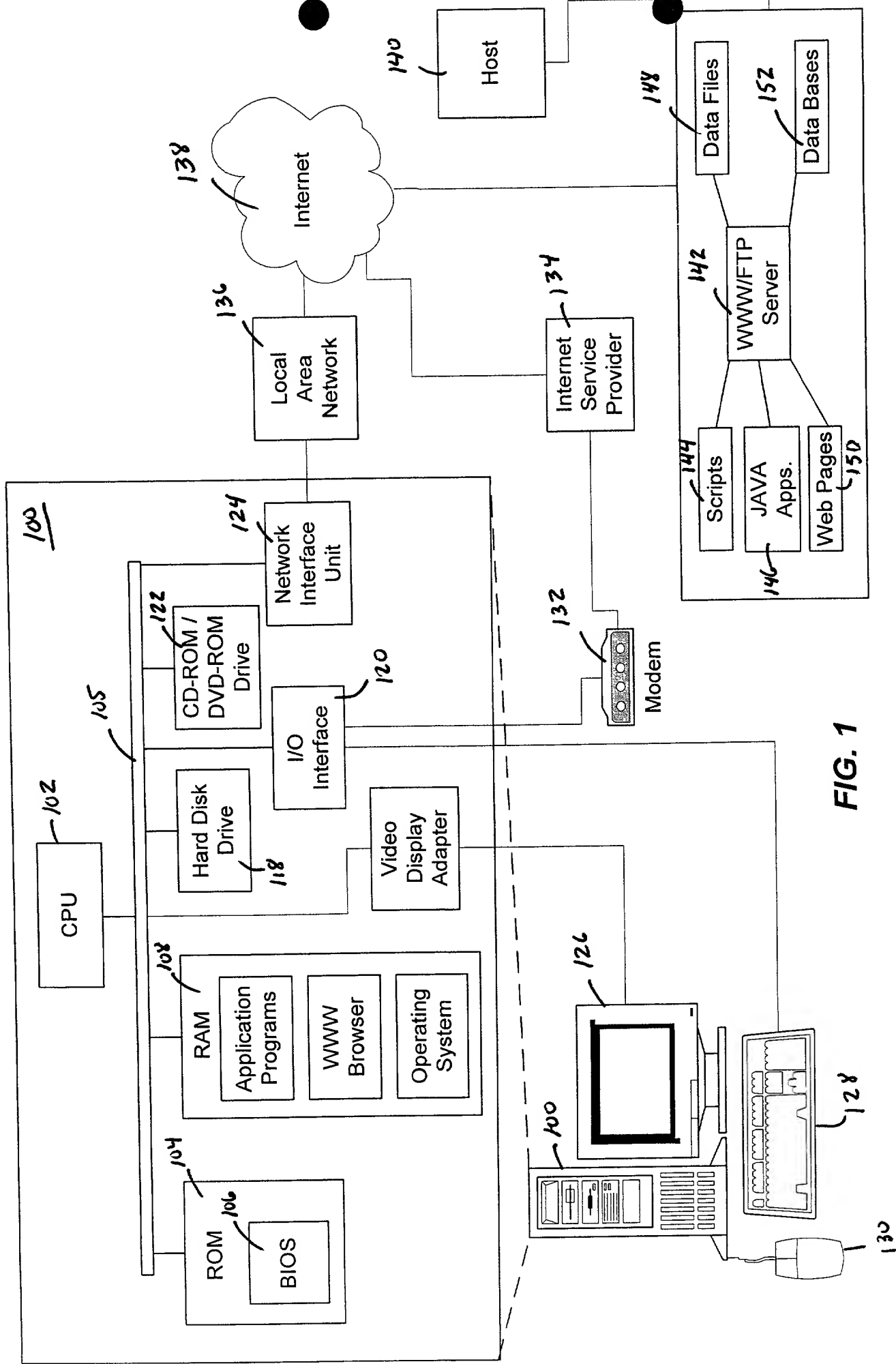
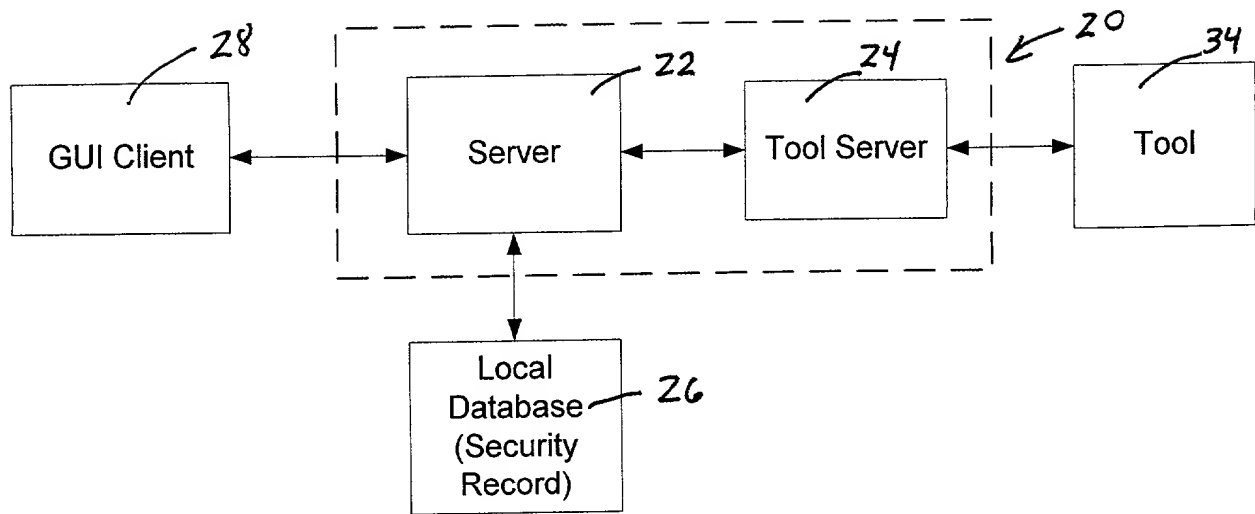
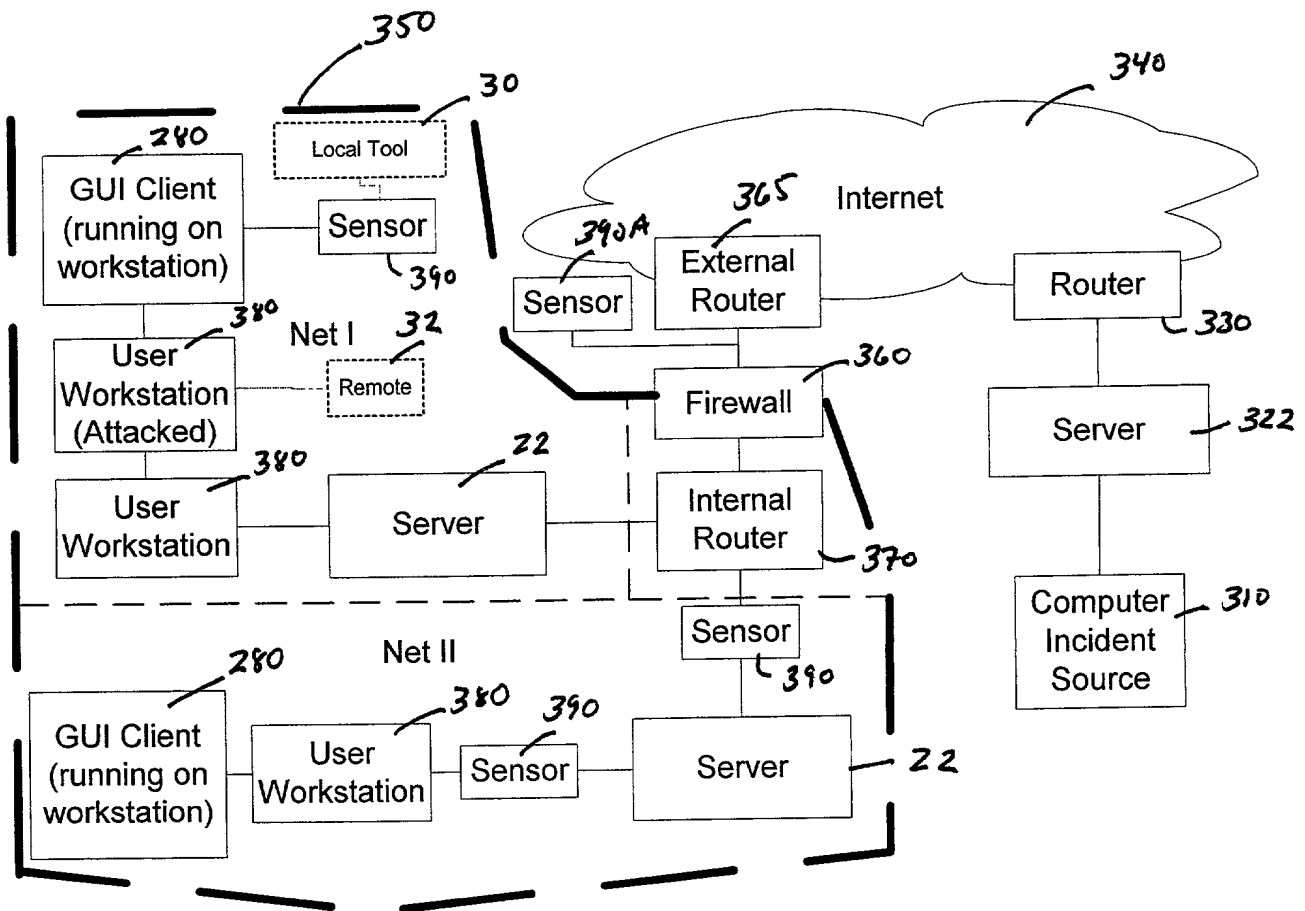


FIG. 1



**FIG. 2**



**FIG. 3**



400 B



490

**Fig. 4B**

Microsoft Internet Explorer provided by Internet Security Systems

File Edit View Favorites Tools Help

Links

POLICY ASSETS FIXES ALERTS SAFELINK INCIDENT

ISS

Incident Investigation Response Configure

Report View Search Edit

440

505 Search Incidents

Incident: Incident ID: Reported Btwn: 2000 1 1 & 2000 7 17

Incident Name: Contains DDoS Happened Btwn: &

Description: Contains Closed Btwn: &

Incident Attributes:

State: In Investigation Incident Status:

Severity: Scope:

Category: Denial of Service Attack Attack IP Addr:

Attack ISP Name: Attack Country:

External Attacker: Incident Type:

Entry Point: Target Network:

Target Firewall: Target Host:

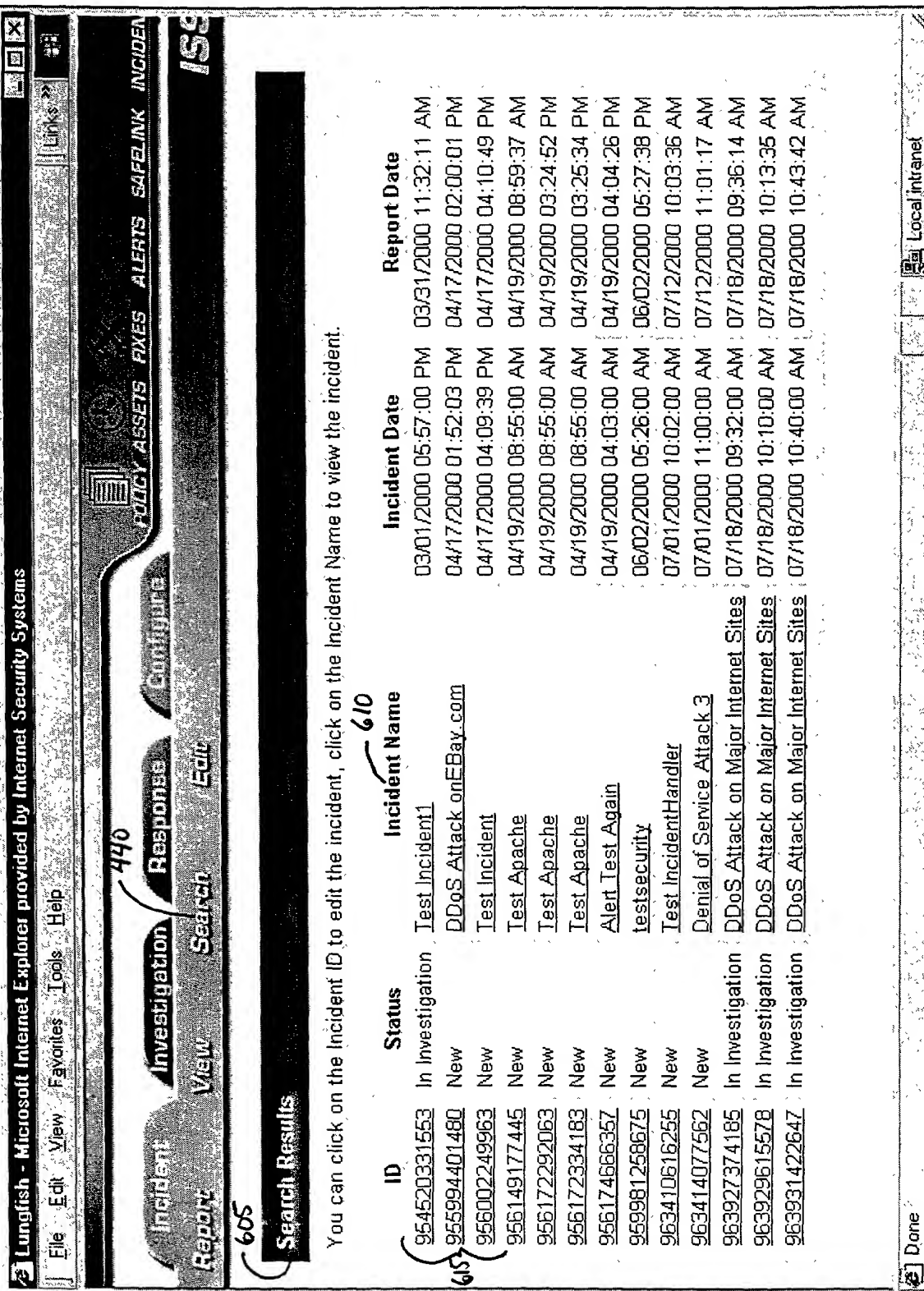
Target Service: Target Account:

Damage Type: Target OS Type:

Search

Local intranet

Fig. 5



**Fig. 6**

## DDoS Attack on Major Internet Sites

## Incident:

Incident : 07/18/2000 10:43:42 AM

Reported: 07/18/2000 10:43:42 AM

Incident 07:10:00 10:10:00 AM




Happened: 07/10/2007 10:00:00 AM

**Description:** Several major Internet sites, such as YAHOO.com, AMAZON.com, and E-BAY.com, were attacked by a group of hackers using "Distributed Denial of Service" attack.

Reporter Name: rixin (Rixin Ge)

Show Action Records In:  Ascending Order  Descending Order

Expand All Close All

Action Name	Begin Time	Finish Time	User
 Run Whols	07/18/2000 10:52:07 AM	07/18/2000 10:52:12 AM	<a href="#">rixin</a>
 RunNIMap	07/18/2000 10:52:29 AM	07/18/2000 10:52:33 AM	<a href="#">rixin</a>
 Run NSLookup	07/18/2000 10:53:00 AM	07/18/2000 10:53:02 AM	<a href="#">rixin</a>

```
Server: goliath.iss.net
```

Address: 208.21.2.12

Non-authoritative answer:

Name: aol.com

Addresses: 205.188.146.23, 205.188.160.121

Aliases: www.aol.com

Add Comments

Microsoft Internet Explorer provided by Internet Security Systems

File Edit View Favorites Tools Help

Links

INCIDENT ASSETS FIXES ALERTS SAFELINK INCIDENT

ISS

Incident Investigation Tools Response Action Records Configuration Document

Procedure: DoS Investigation Procedure Incident: 963931422647-07/18/2000 10:40:00 AM-DDoS Attack on Major Internet Sites

**Procedure - DoS Investigation Procedure**

Click the hyperlink of the steps that you would like to execute.

Run Whois 750

Run NMap 755

Run Traceroute

Run NSLookup

Call FBI 805

**Document Action Result**

Please select an Incident, add the relevant information to document and then click the "Document Result" button. (The fields marked as \* are required fields.)

\*Select An Incident 963931422647-07/18/2000 10:40:00 AM-DDoS Attack on Major Internet Sites

\*Action Taken: Call FBI

\*Action Date & Time: 2000-07-18 10:55:58

\*Result Date & Time: 2000-07-18 10:55:58

\*Results

FBI was informed of this incident and investigation progress.

Document Result

Local Internet

Fig. 8







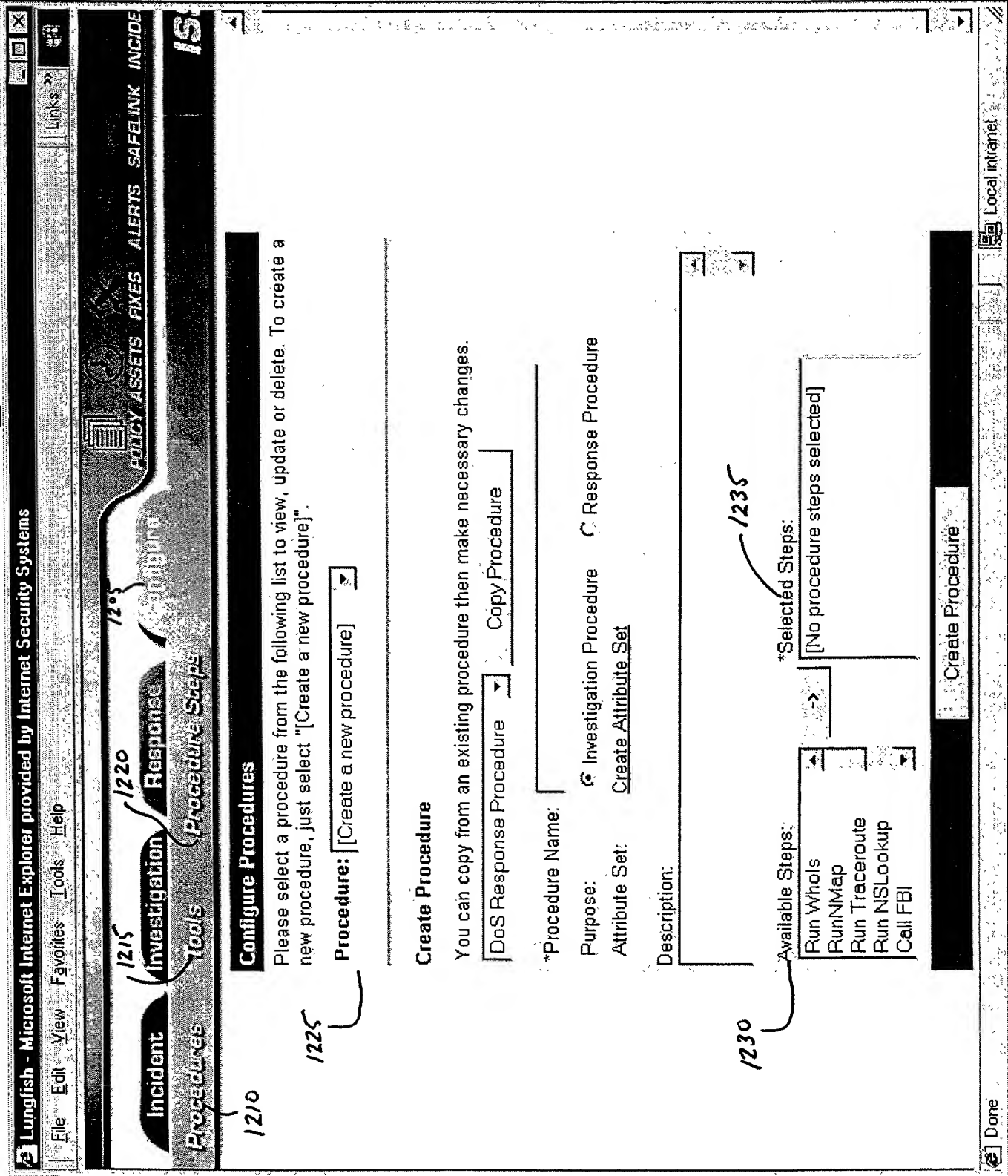


Fig. 12

1300A

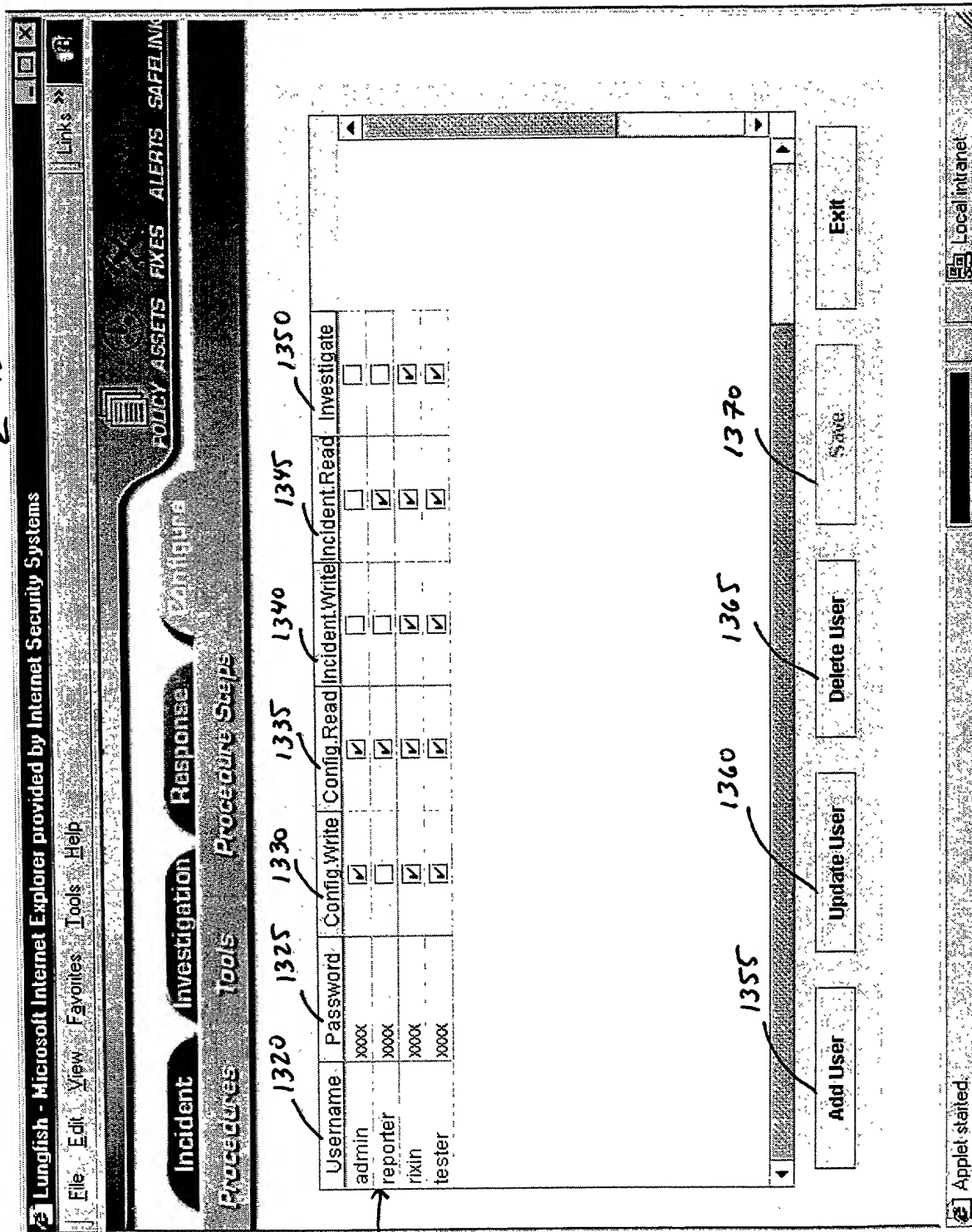


Fig. 13A



7400

Microsoft Internet Explorer provided by Internet Security Systems

File Edit View Favorites Tools Help

Links

POLICY ASSETS FIXES ALERTS

Incident Investigation Response

Procedures Tools Procedure Steps

### 1405 Configure Procedure Steps

Please select a step from the following list to update or delete. To create a new step, just select "[Create a new step]".

Step: Run Whols

#### Update Step

Please change necessary information and click the "Update Step" button.

\*Step Name: Run Whols

\*Tool Purpose: ☒ Incident Investigation Step ☐ Incident Response Step

Description:

To find out the domain registration information.

\*Tool: whols

\*Hyper Link Text: Run Whols

Update Step Delete Step

Local intranet

Fig. 14

Microsoft Internet Explorer - Lungfish - Microsoft Internet Explorer provided by Internet Security Systems

File Edit View Favorites Tools Help

Links >>

Incident Investigation Response Configure

Procedures Tools Procedure Steps

POLICY ASSETS FIXES ALERTS SAFETY

### 1505 Configure Tools

Please select an available tool to edit and click **Update** to update an existing tool, or select **[Add a New Tool]**, fill out the form, and click **Create** to create a new tool.

Tools: **[Add A New Tool]**

1510 \*Tool Name:  ☐ Incident Investigation Tool ☐ Incident Response Tool 1515

\*Tool's URL:

1520 \*Tool's Parsing URL:

\*Tool's Path:

Help Text:

1525 Tool Purpose:

Platform Supported: ☒ Not Applicable

Tool Author:

**Create**

Done Local Internet

Fig. 15

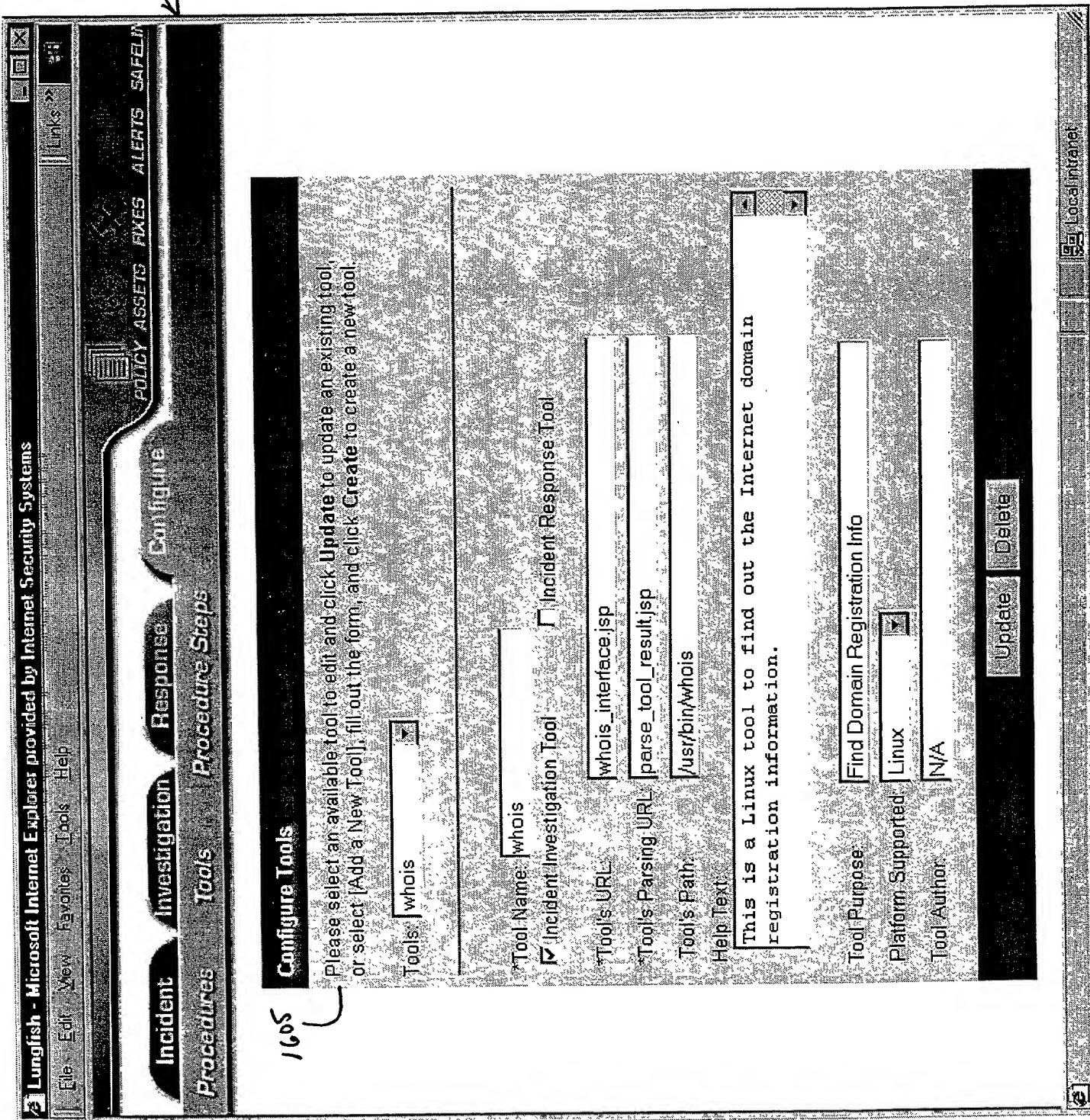


Fig. 16

## Update Procedure: DoS Response Procedure

### Procedure ID: 3

**Date Created:** Tue Jul 18 11:04:57 EDT 2000 **Created By:** rixin

**Last Updated:** Tue Jul 18 11:04:57 EDT 2000 **Updated By:**

\*Procedure Name: DoS Response Procedure

**Purpose:** Investigation Procedure      Response Procedure

**Attribute Set:**

**Description:**

This is an incident response procedure for Distributed Denial of Service attacks.

**-Available Steps:**

- Run Whois
- Run NMap
- Run Traceroute
- Run NSLookup
- Call FBI
- Kill Connection
- Reconfigure Firewall
- Shutdown Network

\*Selected Steps:

1. Run Traceroute
2. Kill Connection
3. Reconfigure Firewall
4. Shutdown Network
5. Call FBI!

## Update Procedure

## Delete Procedure

**Local intranet**

**Fig. 17**

Microsoft Internet Explorer provided by Internet Security Systems

File Edit View Favorites Tools Help

Links

INCIDENT ASSETS FIXES ALERTS SAFELINK INCIDENT

ISS

Incident Investigation Response Configure

Procedure Tools Action Records Document

Procedure: DoS Investigation Procedure Incident: 963931422647-07/18/2000 10:40:00 AM-DDoS Attack on Major Internet Sites

**Procedure - DoS Investigation Procedure**

Click the hyperlink of the steps that you would like to execute.

[Run Whols](#)

[RunNMap](#)

[Run Traceroute](#)

[Run NSLookup](#)

[Call FBI](#)

**Select Step To Run**

Please select a step and then click the "Select" button.

Run Whols Select

1810

1815

1805

Local Internet

Fig. 18

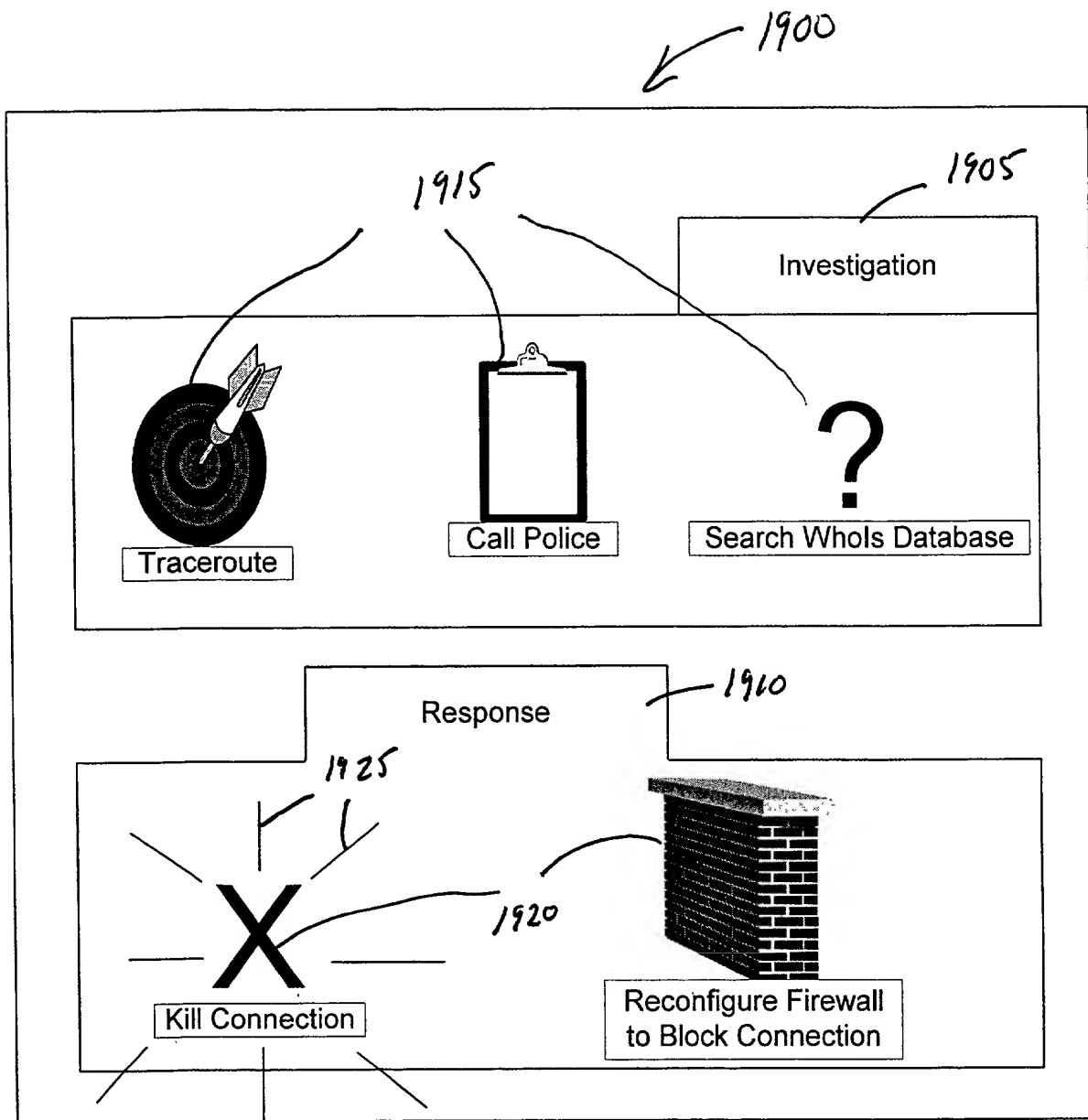


FIG. 19

DDoS Response Procedure

1. Kill Connection

(Reminder: Executing this step could interrupt on-line transactions that are in progress)

2. Reconfigure Firewall to Block Connection

Caution: Executing this step could also interrupt service to this site that are for legitimate uses

3. Call Police

FIG. 20

Step to be Performed

Computer Internet Address Range

Tool Servers

Block Connection

00.000.00.00. - 100.100.100.100.  
101.101.101.101. - 155.155.155.155.  
156.156.156.156. - 255.255.255.255.

SC 1  
SC 2  
SC 3

Run Tripwire

00.000.00.00. - 100.100.100.100.  
101.101.101.101. - 155.155.155.155.  
156.156.156.156. - 255.255.255.255.

SC 3  
SC 2  
SC 1

Dump Network Packets

00.000.00.00. - 100.100.100.100.  
101.101.101.101. - 155.155.155.155.  
156.156.156.156. - 255.255.255.255.

SC 1  
SC 3  
SC 2

FIG. 21A

Security Agent	Status	Incident Name	Procedure Used	Incident Date	Procedure Start date	Incident Source	Target
Adams, James	Closed	DoS Attack on Firewall	DoS Response Procedure	11/15/99	11/25/99	123.456.789.909.	Yahoo!
Bastin, Knicole	In Response	DoS Attack on Corporate Web Server	Dos Response Procedure	11/15/99	11/29/99	455.326.8999.494.	AOL
Castle, Marie	In Response	Virus Attack on Accounting	Virus Ill Response	11/15/99	11/26/99	345.546.888.22.	Accounting

FIG. 21B

00000000000000000000

2100C

Microsoft Internet Explorer provided by Internet Security Systems

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Links Go

Address http://entserver/sma/

POLICY ASSETS FIXES ALERTS SAFELINK

Investigation Response Configure

Report View Search Edit

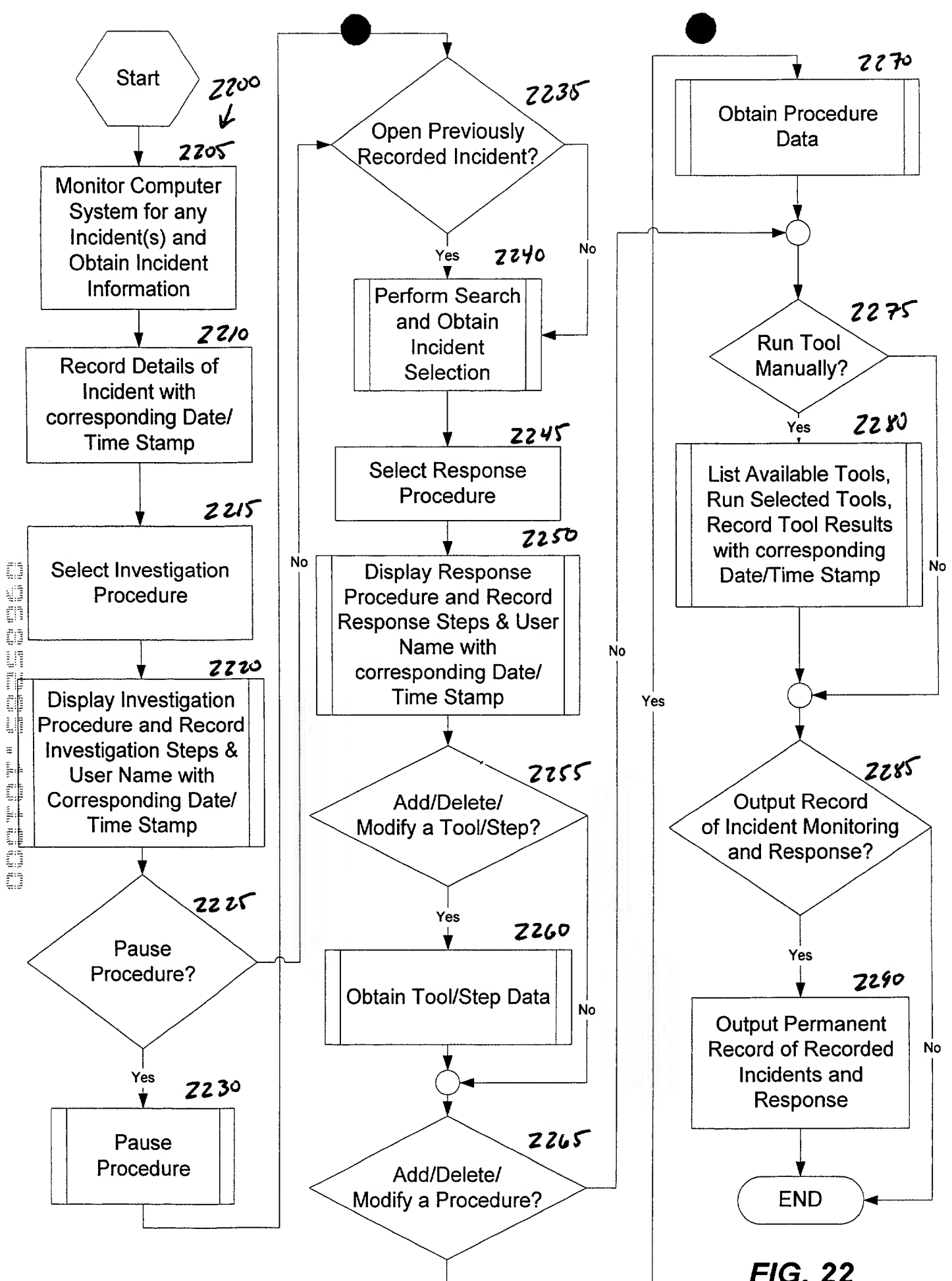
### Configure Toolserver

*Host Name	dhcp3-245.iss.net
*Host IP	208.21.3.245
Port	22
*Login account	root
*Password	XXXXXXXXXX
*Password (Confirm)	XXXXXXXXXX
*SSH identity file	Browse...

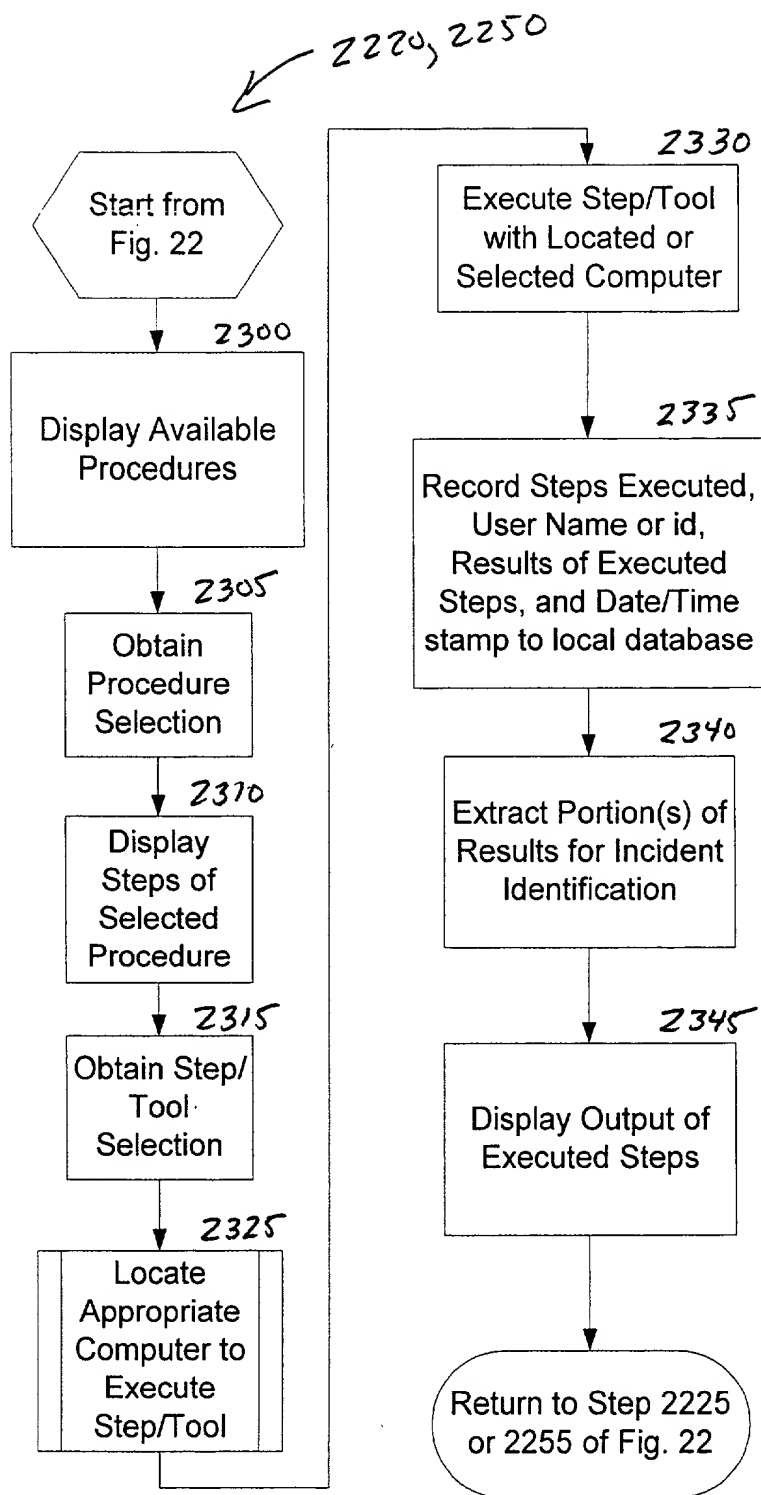
Update

Done Local intranet

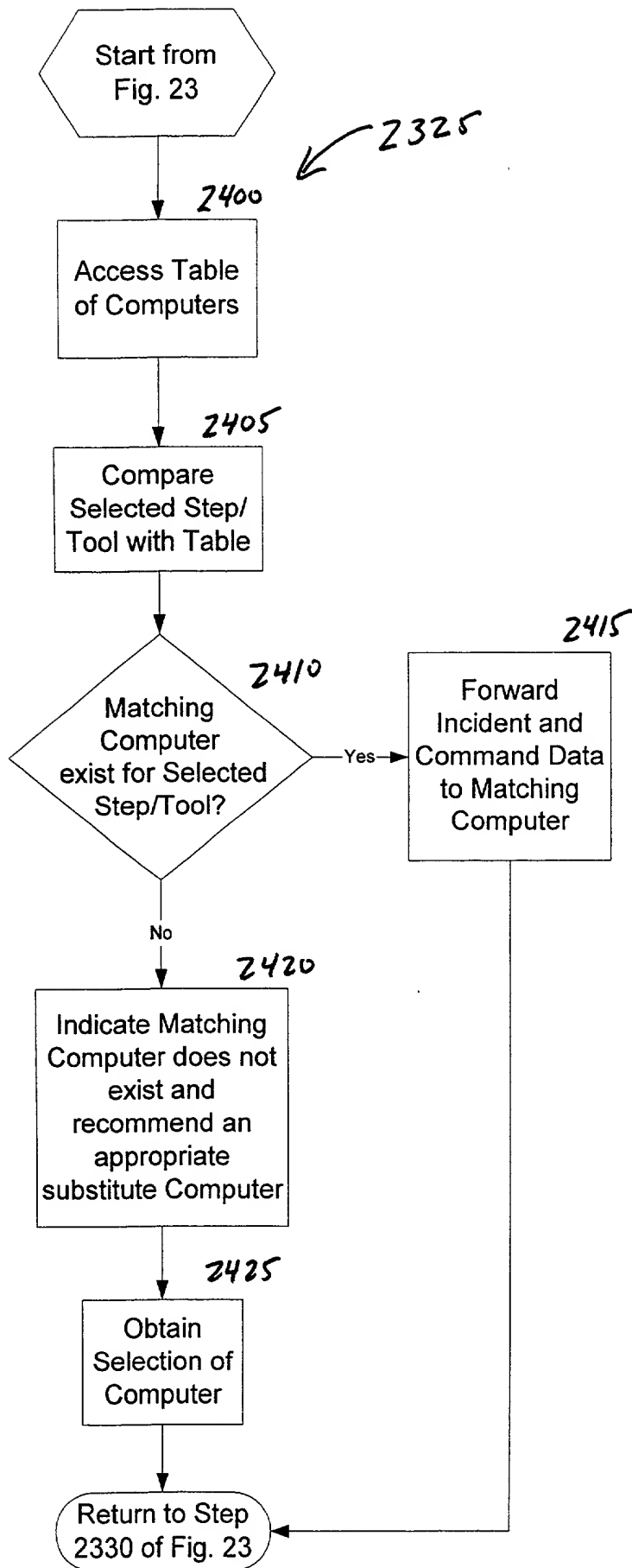
Fig. 21C



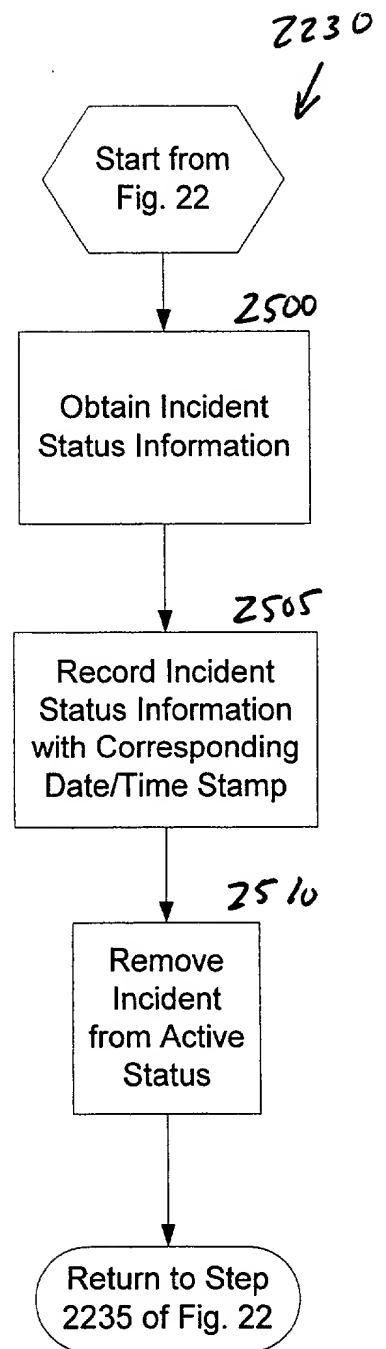
**FIG. 22**



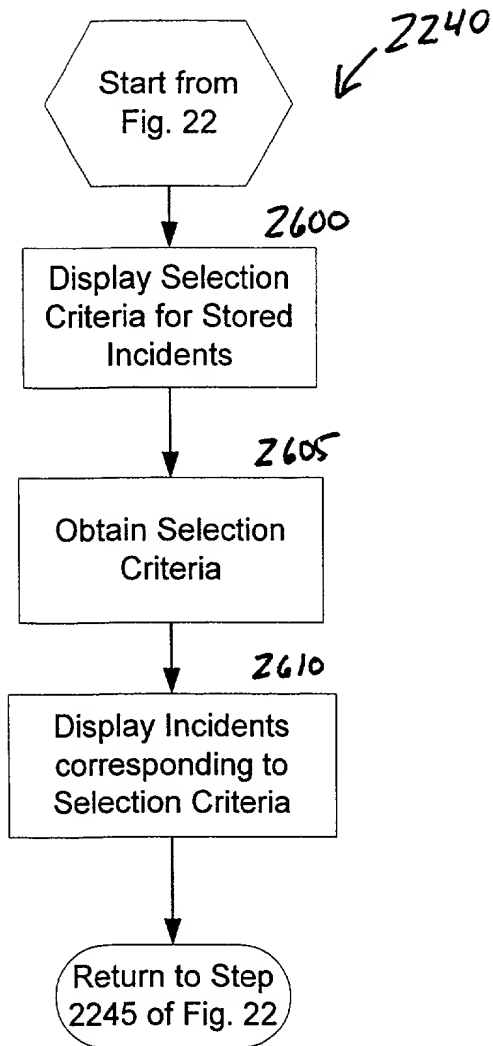
**FIG. 23**



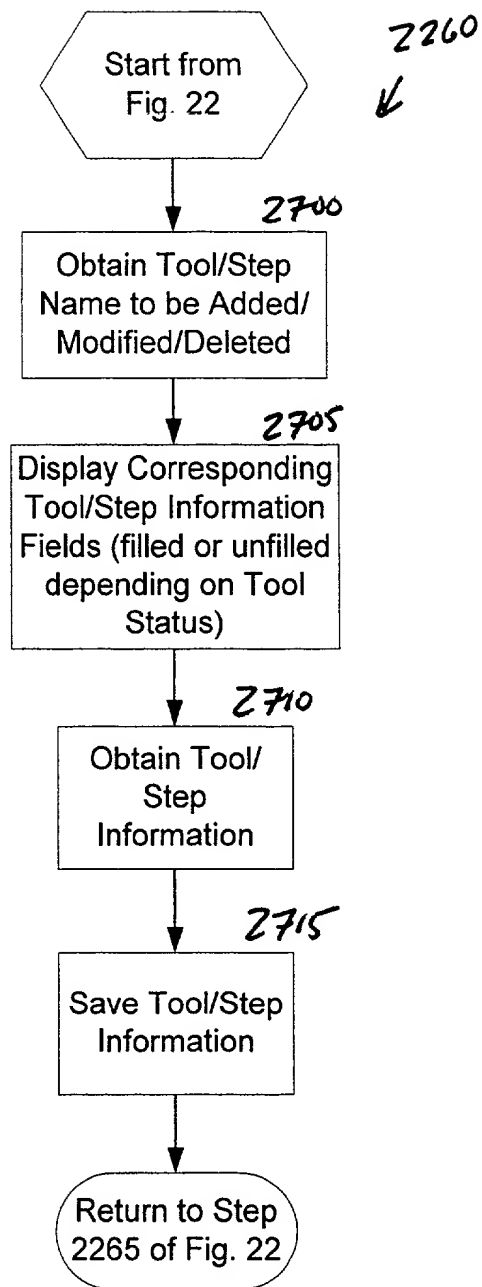
**FIG. 24**



**FIG. 25**

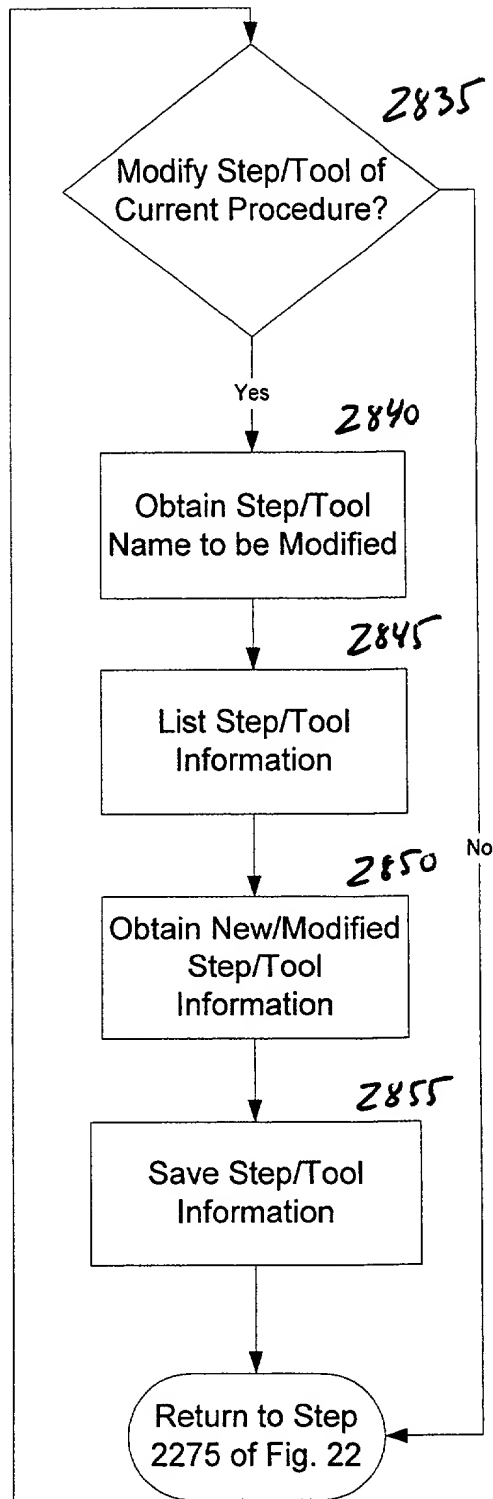
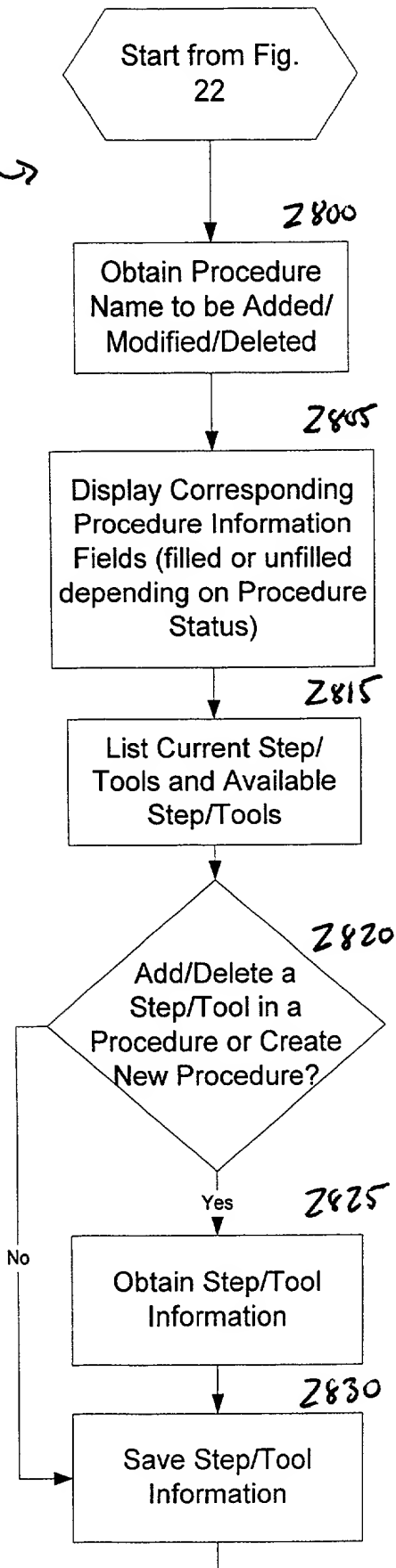


**FIG. 26**



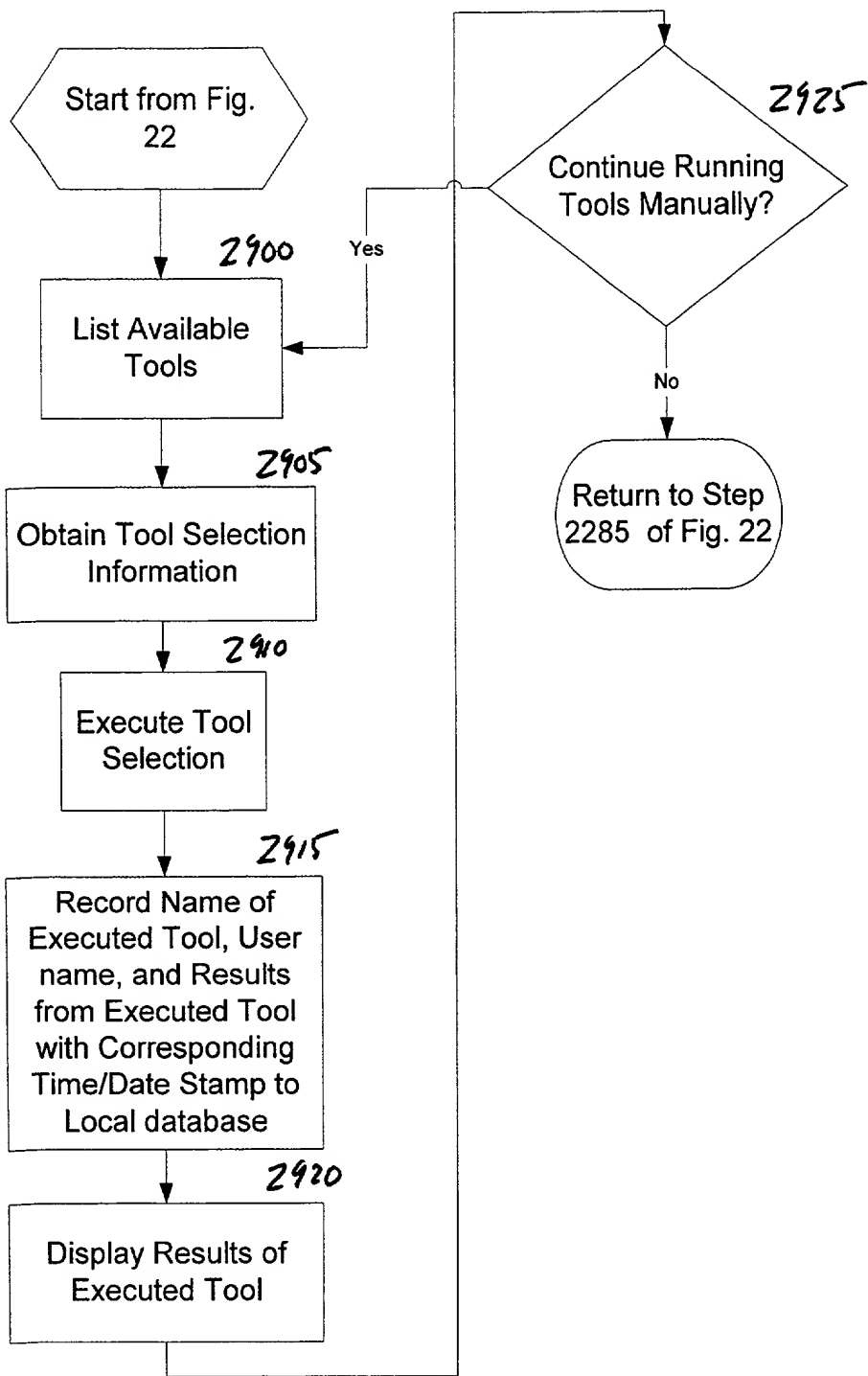
**FIG. 27**

2270 →



**FIG. 28**

2280



**FIG. 29**

**DECLARATION AND POWER OF ATTORNEY**Attorney's Docket No. **05456.105008**In re Application of: **John M. Hammer, Rixin Ge, Charles D. Burke and Charles Hubbard**

As a below named inventor, I hereby declare that my residence, post office address and citizenship are as stated below next to my name. I believe I am a original, first and sole inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled: **Method and System for Creating a Record for One or More Computer Security Incidents**, the specification of which is attached hereto).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above. I do not know and do not believe that the same was ever known or used by others in the United States of America before my or our invention thereof, or patented or described in any printed publication in any country before my or our invention thereof or more than one year prior to the date of this application. I further state that the invention was not in public use or on sale in the United States of America more than one year prior to the date of this application. *I understand that I have a duty of candor and good faith toward the Patent and Trademark Office*, and I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, §1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, §119 (a)-(d) of the foreign application(s) for patent or inventor's certificate listed below, and have also identified below any foreign application for patent or inventor's certificate disclosing subject matter in common with the above-identified specification and having a filing date before that of the application on which priority is claimed:

<u>Application No.</u>	<u>Country</u>	<u>Filing Date</u>	<u>Priority Claimed Under 35 USC §119</u>
None			Yes _____ No <u>X</u>

I hereby claim the benefit under Title 35, United States Code, § 119(e) of any United States provisional application(s) listed below:

<u>(Application No.)</u>	<u>(Filing Date)</u>	<u>(Application No.)</u>	<u>(Filing Date)</u>
--------------------------	----------------------	--------------------------	----------------------

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below and, insofar as the subject matter disclosed and claimed in the present application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application:

<u>Application Serial No.</u>	<u>Filing Date</u>	<u>Status: patented, pending, abandoned</u>
09/663,886	09/15/00	pending

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statement were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patents issuing thereon.

**POWER OF ATTORNEY:** The following are hereby appointed to prosecute this application and transact all business in the Patent and Trademark Office connected therewith: Sherry M. Knowles-33,052; W. Scott Petty-35,645; Clark G. Sullivan-36,942; Holmes J. Hawkins-38,913; Steven P. Wigmore-40,447; Curtis L. Doster-41,714; Charles Vorndran-45,315; Lisa K. Norton-44,977.

Send correspondence to: **King & Spalding**  
191 Peachtree Street, N.E., 45<sup>th</sup> Floor  
Atlanta, Georgia 30303

Direct telephone calls at **(404) 572-4600**

Steven P. Wigmore, Esq.

Full name of first inventor: John M. Hammer	Citizenship: U.S.
Inventor's signature	Date:
Residence and Post Office Address: 300 Embassy Row, 5 <sup>th</sup> Floor, 6600 Peachtree-Dunwoody Road, N.E., Atlanta, Georgia 30328	

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None			Yes _____ No <u>X</u>

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09/663,886	09/15/00	pending

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Atlanta, Georgia 30303

Direct telephone calls at **(404) 572-4600**

Steven P. Wigmore, Esq.

Full name of second inventor: Rixin Ge	Citizenship: U.S.
Inventor's signature	Date:
Residence and Post Office Address: 300 Embassy Row, 5 <sup>th</sup> Floor, 6600 Peachtree-Dunwoody Road, N.E., Atlanta, Georgia 30328	

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09/663,886	09/15/00	pending

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Atlanta, Georgia 30303

Direct telephone calls at **(404) 572-4600**

Steven P. Wigmore, Esq.

Full name of third inventor: Charles D. Burke	Citizenship: U.S.
Inventor's signature	Date:
Residence and Post Office Address: 300 Embassy Row, 5 <sup>th</sup> Floor, 6600 Peachtree-Dunwoody Road, N.E., Atlanta, Georgia 30328	

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<u>Application No.</u>	<u>Country</u>	<u>Filing Date</u>	<u>Priority Claimed Under 35 USC §119</u>
None			Yes _____ No <u>X</u>

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<u>(Application No.)</u>	<u>(Filing Date)</u>	<u>(Application No.)</u>	<u>(Filing Date)</u>
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I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below and, insofar as the subject matter disclosed and claimed in the present application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application:

<u>Application Serial No.</u>	<u>Filing Date</u>	<u>Status: patented, pending, abandoned</u>
09/663,886	09/15/00	pending

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statement were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patents issuing thereon.

**POWER OF ATTORNEY:** The following are hereby appointed to prosecute this application and transact all business in the Patent and Trademark Office connected therewith: Sherry M. Knowles-33,052; W. Scott Petty-35,645; Clark G. Sullivan-36,942; Holmes J. Hawkins-38,913; Steven P. Wigmore-40,447; Curtis L. Doster-41,714; Charles Vorndran-45,315; Lisa K. Norton-44,977.

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